2004

National Institute of Standards and Technology
Technology Administration • Department of Commerce
Baldrige National Quality Program

2004 Consensus Manual

KEY PROCESS CHANGES FOR 2004

- **Drafting and discussing site visit issues and reaching consensus on them at Stage 2 is optional. This step can be delayed until Stage 3 (See Section Three).**

- **A consensus hotline (1-800-898-4506) has been established to answer questions about the Criteria or the process during consensus calls. Team leaders must call the consensus hotline after each consensus call to report that the call has been completed.**

- **While the NIST/BNQP monitor will participate in the entire planning call, the monitor may not listen to the entire consensus call. If you need assistance after the monitor leaves the call, contact the hotline.**

- **Team leaders will complete evaluations of the consensus process.**

- **This year's phone system will allow teams to plan and place calls without the assistance of an operator.**

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Section One

The Consensus Review Timeline

2004 STAGE 2: CONSENSUS REVIEW TIMELINE

July 29	Judges meeting—consensus applicants selected
July 30–August 5	NIST/BNQP Award Process Team determines consensus assignments and notifies ASQ
August 2–3	The American Society for Quality **(**ASQ) sends team members their assignments, team lists, available scorebooks, and general consensus instructions ASQ sends applications to Examiners being added to a Consensus Team; Examiners return their Key Themes Worksheets to ASQ ***no later than August 17***
By August 6	Team members send biographies and revised Dates Unavailable Forms to team leader
By August 9	Team leader consults with team members to set conference call dates and times Team leader notifies team, NIST/BNQP, and ASQ of conference call dates and times (at a minimum, the date and time of the planning call)
By the scheduled planning call	Team leader and NIST/BNQP confer on scorebook editor and select editor; team leader forwards agenda for the planning call to the team
Before all calls	ASQ sends team members information for joining the conference calls. Team members confirm with ASQ receipt of call information and notify ASQ of alternate contact information, if necessary
August 11–26	ASQ receives dates for consensus calls that have not previously been scheduled
August 11–18	Planning calls
August 17	Key Themes Worksheet(s) from new team members due to ASQ
By August 19	ASQ sends new team members' Key Themes Worksheets to all team members
Aug. 30–Sept. 3 **September 7–8** **(Break for Labor Day Weekend)**	Primary and backup consensus calls for all teams Primary and backup consensus calls for all teams
Immediately after consensus calls	Team leader calls the NIST/BNQP hotline (1-800-898-4506) to report that each consensus call has ended. Team leader faxes consensus Score Summary Worksheet to ASQ after completing final call
24 hours after call	Team members send revised consolidated comments and other assignments to team leader/scorebook editor
By September 13	Team leader sends (via Federal Express) feedback-ready consensus scorebook to arrive at NIST ***no later than September 14***
September 17	Judges meet to select applicants that will receive a site visit

Section Two

Stage 2: Consensus Review Process Description

Purpose

The purpose of Stage 2: Consensus Review is to clarify and resolve differences in individual Examiners' review from Stage 1: Independent Review. During consensus review, a team of Examiners reaches agreement on the applicant's strengths and opportunities for improvement (OFIs), the resulting score, and, if required by the team leader, identifies 2–4 issues per Criteria item to clarify and verify if the applicant is selected for site visit. The consensus scores are used to develop scoring profiles for the Panel of Judges to use in its site visit selection process.

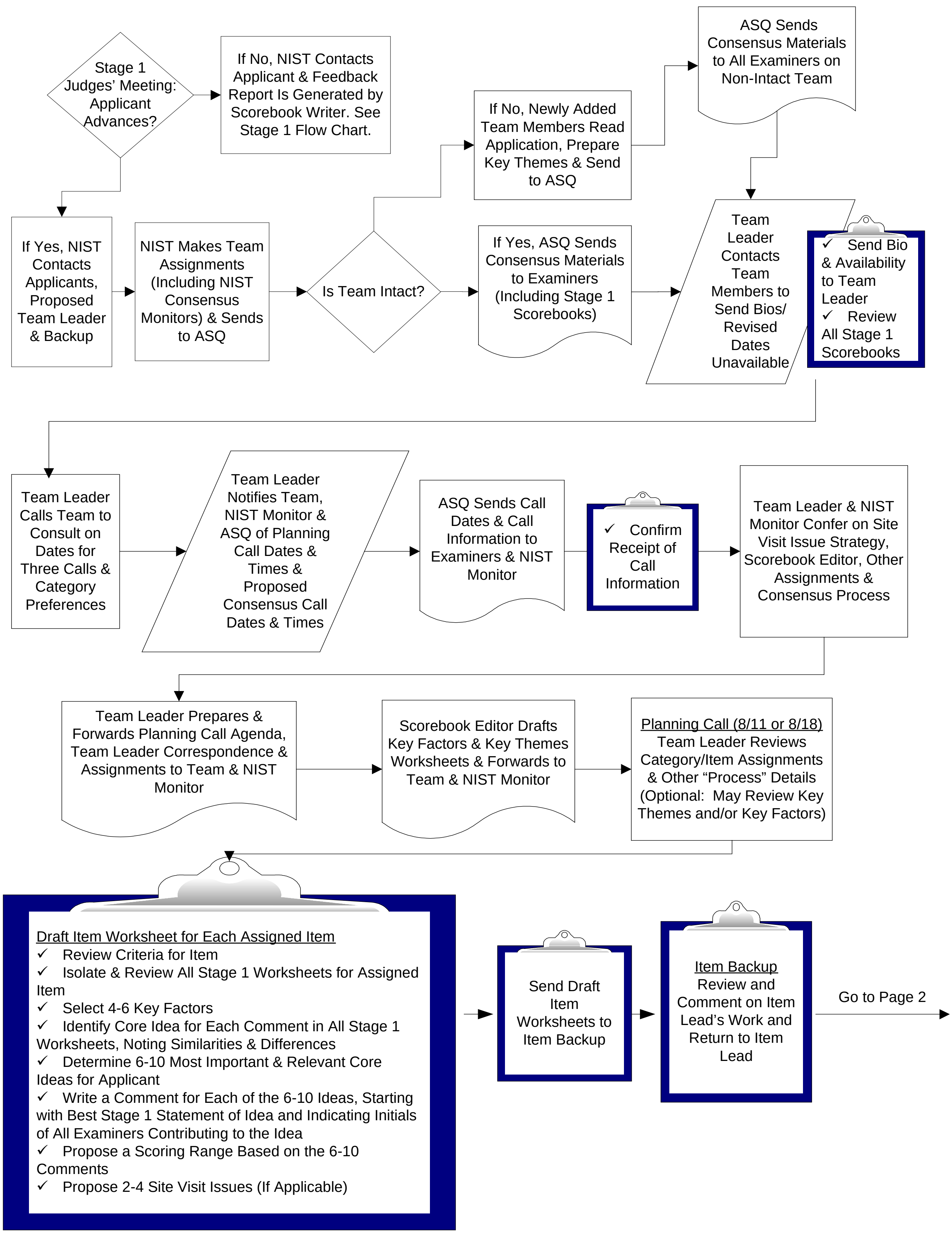
Assignment of Consensus Team Members

A Consensus Team includes a team leader, a backup team leader, and a combination of Examiners (Senior, returning, new, and, in some cases, alumni). Whenever possible, team members are selected from Examiners who completed the original Stage 1 review of the application. Team leaders and backup team leaders are Senior Examiners who have received additional training on the Baldrige Award's purposes and processes. One consensus team member will serve as the scorebook editor. Additional roles for team members include timekeeper, scorekeeper, scorebook sponsor, Criteria cop, and process checker.

The Consensus Review Process

Consensus is a team decision about key factors, comments (Items and Key Themes), and numerical scores, based on the contributions of ALL Consensus Team members and all Stage 1 scorebooks, including those of Stage 1 Examiners who are not members of the Consensus Team. Via conference calls, the Consensus Team reaches agreement on comments synthesized from the Stage 1 scorebooks. The team also arrives at a score for each Criteria Item (and reaches consensus on site visit issues [SVIs], if appropriate). The scorebook editor prepares a consensus scorebook using the combined work of the Consensus Team and forwards it to the team leader for approval and submission to NIST. The team leader is ultimately responsible for ensuring that the consensus scorebook is complete and is submitted to NIST by the specified deadline. The consensus scorebook is used as the basis for the feedback report for applicants not progressing to Stage 3, site visit review. It also serves as the basis for site visit planning for applicants advancing to Stage 3.

MBNQA Stage 2 Process



MBNQA Stage 2 Process

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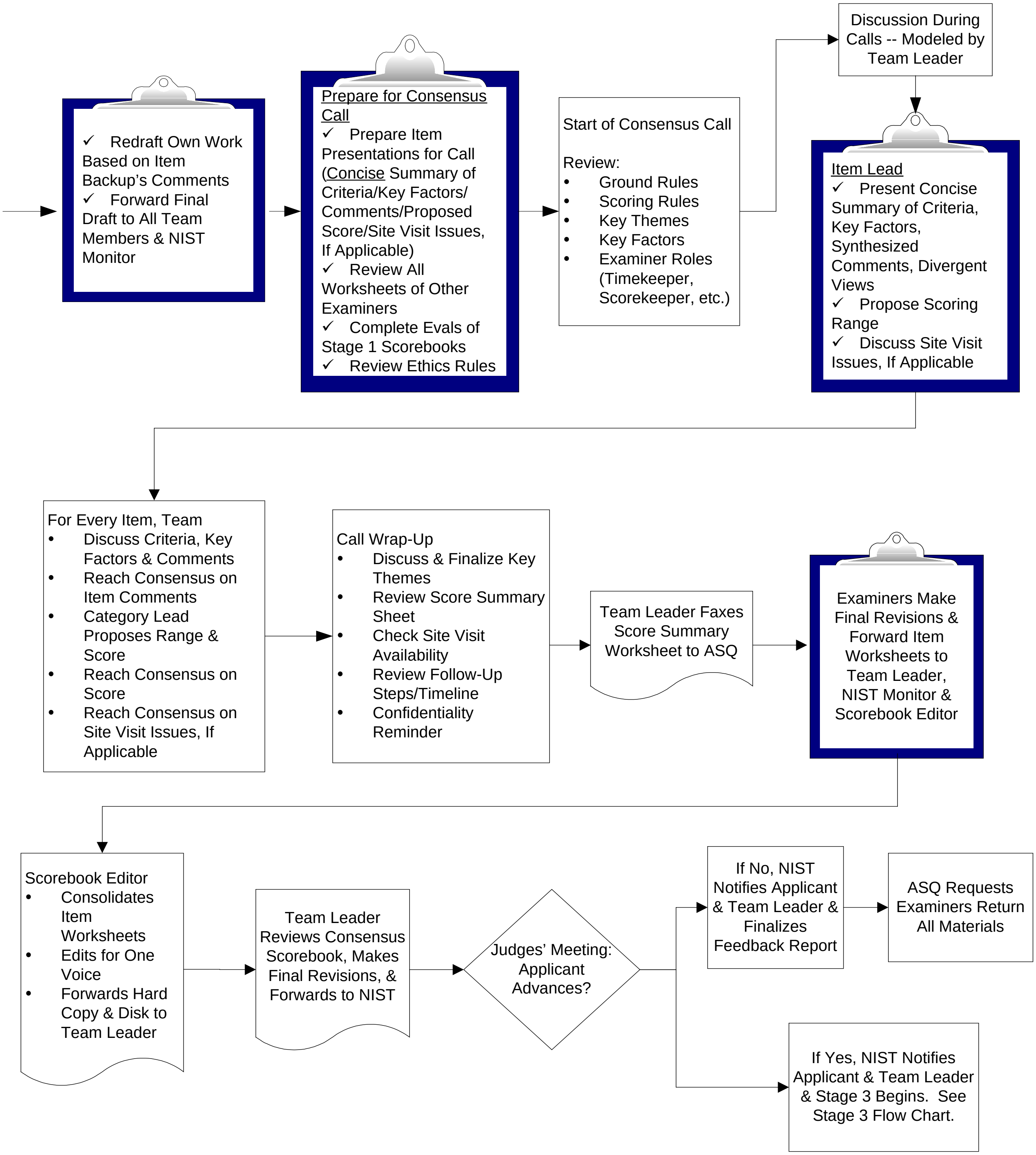


Section Three

Stage 2: Roles and Responsibilities

CONSENSUS TEAM MEMBERS' ROLES AND RESPONSIBILITIES

	Planning and Prework	Conducting the Consensus Call	Preparing the Consensus Scorebook
Team Leader	- Contacts team members and introduces self - Schedules planning call and consensus calls - Reviews Stage 1 scoring information - Drafts instructions/ground rules for team and agendas for calls - Drafts assignments for team (scorebook editor, Category/Item lead, Category/Item backup, timekeeper, scorekeeper, scorebook sponsor, computer expert, Criteria cop, process checker) - Discusses instructions, plans for calls, team assignments (including scorebook editor), and agendas with NIST/BNQP contact point/monitor - Distributes instructions/agendas to team - Reviews consensus scoring and rounding - Verifies receipt of team information by ASQ - Reviews Code of Conduct/Rules of Ethics - Develops plan for site visit issues	- Makes introductions - Establishes ground rules - Verifies and clarifies process, responsibilities, and schedule - Finalizes agenda - Discusses computer use - Reviews order of discussion of Items - Models presentation style for team - Facilitates discussion - Recaps scoring results - Ensures calls are completed by September 8, 2004 - Calls the NIST/BNQP hotline (1-800-898-4506) to report that each consensus call has ended - Faxes Score Summary Worksheet to ASQ immediately after call	- Coordinates and confirms deadlines with team members and scorebook editor - Attaches Score Summary Worksheet - Sends paper copy and electronic copy of scorebook to NIST to arrive no later than September 14, 2004 - Retains paper and electronic copy until notified to destroy - Prepares peer evaluation forms
Team Members	- Review Criteria requirements, relevant Key Factors, and guidelines for completing Item Worksheets - Serve as Category/Item lead and Category/Item backup and review all Stage 1 scorebooks - Complete Key Themes and submit evaluation of scorebooks (new members) - Develop draft Item Worksheets - Distribute draft worksheets to other team members and NIST Monitor - Review other team members' draft Item Worksheets - Provide updated information to team leader - Verify with ASQ receipt of conference call forms and provide backup contact information - Review Code of Conduct/Rules of Ethics, if necessary	- Provide input on agenda topics - Serve as timekeeper, scorekeeper, scorebook sponsor, backup team leader, process checker, Criteria cop, or computer expert, as assigned - Lead discussion on assigned Items (review Criteria requirements, relevant key factors and comments, and propose scoring range and percent score) - Contribute to discussion of other Items during the call - Arrive at consensus on comments and score - Record information from discussion on assigned Items - Perform assigned duties - Provide input for Key Themes Worksheet - Recap scoring results on assigned Items	- Prepare final Item worksheets - Forward final Item worksheets to scorebook editor, team leader, and NIST Monitor - Complete peer evaluations and forward to NIST
Scorebook Editor (***Could be the team leader, backup team leader, or another team member***)	- May prepare/distribute to team Key Factors and Key Themes Worksheets, if asked by team leader - Reviews other team members' draft Item Worksheets and provides comments - Provides updated information to team leader - Prepares evaluation forms - Verifies with ASQ receipt of conference call forms and provides backup contact information - Reviews Code of Conduct	- Contributes to the discussion of Items during the call - Arrives at consensus on comments and score - Ensures all comments are well-written and conform to comment guidelines - Captures discussion of Items for inclusion in Scorebook - Finalizes Key Themes and Key Factors Worksheets, if assigned by the TL	- Coordinates with Category/Item leads to ensure comments and site visit issues (if applicable) reflect the calls' Discussion and Criteria requirements - Compiles consensus Item worksheets - Reviews Item worksheets to eliminate conflicts and develop linkages - Finalizes Key Factors Worksheet - Finalizes Key Themes Worksheet - Formats the scorebook
NIST/BNQP	- Forms consensus teams - Sends team assignments to ASQ - Monitors process, answers questions - Supports team leaders in planning consensus calls - Assigns and notifies new team members - Confers with team leader to assign scorebook editor	- Explains role of NIST monitor to team members - Monitors planning call(s) and start of consensus call(s) - Provides assistance on process and Criteria - Staffs the consensus hotline (1-800-898-4506)	- Provides assistance on process - Receives consensus scorebook - Edits the feedback report - Prepares for Judges' meeting
ASQ	- Distributes team lists - Provides team member information to team leader - Forwards consensus packages to teams	- Provides support for telecommunication issues - Collects completed Score Summary Worksheet from team leader	- Prepares Judges' materials
Judges	- Review the instructional materials and samples prior to meeting		- Select applicants for site visits

Consensus Team Roles—Team Leader

The team leader has several roles during the consensus review process:

1. *Plans the consensus review process for the Consensus Team, guides the team through the key steps of the process, and monitors the process for both progress and quality*
2. *Develops a plan for completing site visit issues (SVIs) in the event the applicant is selected for a site visit (See "Options for Developing Site Visit Issues, page 24.)*
3. *Instructs the Consensus Team in any changes to the consensus review process not covered during the Examiner Preparation course*
4. *Serves as a mentor and role model for Senior Examiners who have not led and/or participated in Stage 2, as well as for new and returning Examiners*
5. *Models the desired process for presenting assigned Categories/Items*
6. *Reviews and approves the consensus scorebook prior to its submission to NIST*

Consensus Team Roles—Backup Team Leader

In addition to his/her roles as a Consensus Team member, the backup team leader works with the team leader to plan the consensus process. The backup also assists the team leader in communicating with the other team members. ***Most importantly, the backup assumes the team leader role if the team leader is unable to fulfill the role.***

Consensus Team Roles—Scorebook Editor

The team leader assigns the scorebook editor with assistance from NIST. The editor is responsible for working with all Category/Item leads to ensure that all comments are well-written and conform to the comment guidelines. The scorebook editor may be responsible for drafting the Key Themes Worksheet and the Key Factors Worksheet as part of the prework before the calls.

Consensus Team Roles—Category/Item Lead

Individual team members act as leads on specific Items and/or Categories assigned to them by the team leader. A significant amount of prework must be completed prior to the start of the consensus calls. The Category/Item lead role is to ensure that

1. ***ALL*** *Scorebooks are reviewed for the assigned Items*
2. *draft Item Worksheets are prepared with key factors, strengths, and opportunities for improvement*
3. *areas of disagreement that account for scoring differences among Examiners are captured*
4. *a proposed scoring range based on the comments and appropriate scoring guidelines is included*
5. *2–4 key SVIs per Item are drafted (if applicable)*
6. *the draft Item Worksheets are sent to the Category/Item backup and the NIST monitor*

Consensus Team Roles—Category/Item Lead
-continued

7. *after the backup's review, the Item worksheets are revised and then sent to all team members and the NIST monitor*
8. *a peer review form for each scorebook is completed and returned to NIST*

Consensus Team Role—Category/Item Backup

The primary role of the Category/Item backup is to review the proposed draft Item worksheets prepared by the Category/Item lead to ensure the comments address all major points of the Criteria Items without going beyond the Criteria requirements. Also, the backup should suggest changes and/or additions to the comments based on the comment guidelines. ***Most importantly, the backup should be prepared to lead the discussion if the Examiner assigned as the lead is unable to participate.***

Consensus Team Roles—Criteria Cop

The primary role of the Criteria cop is to ensure that the consensus call discussions and comments are limited to what is specified in the Criteria.

Consensus Team Roles—Process Checker

The primary role of the process checker is to ensure that the team discussions of each Item follow the process outlined in the consensus manual, (i.e., Criteria, key factors, ***s***trengths/OFIs, comment differences causing scoring differences, proposed scoring range, score, and site visit issues, if applicable.) See Section Six for Checklist for Process Checker to Use on Calls

Consensus Team Roles—Computer Expert

The primary role of the computer expert is to provide guidance to team members on file labeling conventions and to resolve hardware- and software-related issues. (See instructions for planning computer use on page 23.)

Consensus Team Roles—Scorebook Sponsor

The scorebook sponsor represents the views expressed in the scorebook(s) of Stage 1 Examiners not participating in the consensus process (sometimes referred to as "phantom scorebooks"). The sponsor represents these views in the consensus Item Worksheets and corresponding discussions.

Consensus Team Roles—Timekeeper

The timekeeper ensures that the consensus discussions adhere to the timeframes set in the agenda and records the duration of each call.

Team Leader Responsibilities— Chronology of Activities

Getting Started

✓ Review the consensus package sent by ASQ. It will contain
1. *a list of team members*
2. *Stage 1: Independent review scorebooks*
3. *scoring profiles (Stage 1 Examiner Scoring Table, Stage 1 Scoring Graph, and Stage 1 Frequency of Scores)*
4. *Dates Unavailable Forms*

✓ Review the *Consensus Manual* and any on-line Stage 2 materials

✓ Review the Consensus Roles and Responsibilities Matrix

✓ Contact the team members immediately after the list of consensus team members is received and
1. *introduce yourself and provide your biographical form.*
2. *ask for biographies and updated Dates Unavailable Forms*
3. *confirm all team members' telephone, fax (identify whether secure or not secure), and address data from mid-August through mid-September*
4. *instruct Examiners to notify you if they do not receive the mailing from ASQ or if it is incomplete or incorrect*
5. *solicit each Examiner's Item interest and expertise for preliminary discussion of team assignments*
6. *survey team members about their computer and software access, reminding them that all materials should be prepared using the NIST requested format (Times New Roman, 12 point) and saved in Microsoft Word 6.0/95*

If there is a new team member, determine when his/her completed Key Themes Worksheet will be returned to ASQ —must be no later than **August 17**. Reviewing and/or discussing any applicant information (e.g., draft Key Factors and/or Key Themes Worksheets, strengths/OFIs, or scorebooks) may not occur until ASQ receives and distributes the additional Key Themes Worksheet(s) from new team members.

Team Leader Responsibilities— Chronology of Activities

Complete Planning and Prework

✓ Discuss the possible scorebook editor assignment with NIST/BNQP, taking into account writing skill, willingness, and availability of potential editors. The scorebook editor can be the team leader, backup team leader, or another member of the team. Typically, the scorebook editor assignment is given to Examiners who have at least one year of prior consensus experience.

✓ Contact the identified scorebook editor and discuss the role.

Team Leader Responsibilities—Chronology of Activities

Complete Planning and Prework
- continued

✓ Determine Consensus Team assignments by

1. *reviewing team members' scorebooks*
2. *evaluating Item expertise, knowledge of the Criteria, quality of comments*
3. *considering the Examiners' preference for an Item*
4. *assessing tentative Consensus Team assignments: Category/Item leads, Category/Item backups, scorebook editor, scorebook sponsor for phantom scorebooks, etc.*

✓ Determine and assign the pairings of lead and back-up responsibilities. Consider balancing the following factors:

1. *an Examiner experienced in the MBNQA process with an inexperienced Examiner*
2. *an introvert with an extrovert*
3. *good writing skills with adequate writing skills.*

✓ Schedule the consensus conference calls (planning and consensus calls):

1. *Use the updated Dates Unavailable Forms to select call dates and times consistent with Examiners' availability*
2. *Select dates and times for a one hour planning call (August 11–18)*
3. *Select dates and times for all remaining consensus calls, which must be held during the timeframe specified on the consensus timeline (August 30–September 3 and September 7–8).*
4. *Contact each team member with the proposed call dates and times and confirm availability*
5. *Notify NIST/BNQP and ASQ of agreed upon dates and times*

✓ Develop a tentative schedule for the consensus review from initial preparation through delivery of the final, completed consensus scorebook. Key dates should include

1. *call dates and times(for planning call and two consensus calls)*
2. *draft Item worksheets due to Category/Item backups, team leader, NIST/BNQP monitor*
3. *revisions of draft Item Worksheets*
4. *revised Item worksheets and other assignments due to full team and NIST/BNQP monitor*
5. *completion of assignments after the call*
6. *completion of the consensus scorebook by the scorebook editor; review and approval of final consensus scorebook by the team leader; and overnight delivery via Federal Express of the consensus scorebook to NIST (see Consensus Review Timeline)*

Team Leader Responsibilities— Chronology of Activities

Complete Planning and Prework
- *continued*

- ✓ Develop a plan for completion/discussion of SVIs. (See “Options for Developing Site Visit Issues,” page 24.)
- ✓ Draft correspondence to team members containing assignments, instructions, expectations, ground rules, and agendas for the team. (See “Draft Agenda for the Planning Call,” below, and sample correspondence and agendas in Section Five, pages 47–55.)
- ✓ Review the tentative action plan, consensus strategy, SVI plan, and draft agendas for the calls, as well as correspondence, with the NIST/BNQP monitor.
- ✓ Plan to model the desired process, using a less complicated Category (usually Items from Category 1 Leadership).
- ✓ Plan to discuss corresponding Items in Category 7 with the applicable Process Items.
- ✓ Distribute the action plan, consensus strategy, SVI plan, and agendas for the calls, as well as correspondence, to team members and the NIST/BNQP monitor.
- ✓ Confirm with ASQ that all Examiners have acknowledged receipt of the conference call date/time information.
- ✓ Distribute team biographies and consensus call information prior to the call.

Team Leader Responsibilities— Chronology of Activities

Draft Agenda for the Planning Call

The planning call can be used for three purposes:

1. *a team-building function to help the team get acquainted*
2. *a planning function, allowing the team leader to cover the logistics of the consensus review process with all team members at the same time*
3. *possibly beginning the scorebook review process. Some teams are able to begin discussing draft Key Factors and Key Themes Worksheets during the planning call if all new team members have sent their Key Themes Worksheets to ASQ and if all team members are on the call for the entire discussion.*

- ✓ Topics to cover in the planning call include the following (See sample agenda in Section Five):
  1. *a roll call: the operator will conduct a roll call to ensure all team members are present.*
  2. *the reconnection policy: review the procedure for reconnecting if a team member is disconnected, and remind the team NOT to disconnect during breaks.*

Team Leader Responsibilities— Chronology of Activities

Draft Agenda for the Planning Call
-continued

3. *introductions:*
   - *Begin the process of matching Examiners' names with their voices.*
   - *NIST/BNQP monitor explains his/her role throughout the consensus process.*
4. *a check to ensure all working materials have been received*
5. *ground rules for the calls*
6. *assignments (e.g., scorebook editor, Category/Item leads, Category/Item backups, scorekeeper, timekeeper, scorebook sponsors, computer expert, Criteria cop, and process checker)*
7. *an overview of preparation requirements*
8. *a consensus review schedule*
9. *consensus call dates and times*
10. *an agenda for the remaining consensus calls*
11. *confidentiality procedures (e.g., secure/unsecure fax machines, computer use and files, e-mails, etc.)*
12. *scorebook preparation software, formatting, and distribution procedures*
13. *completion of peer evaluation forms*
14. *Site visit availability*
15. *optional planning call topics: draft Key Factors Worksheet, draft Key Themes Worksheet (only if new team members have sent Key Themes Worksheet to ASQ and all team members are present for the discussion)*

Team Leader Responsibilities— Chronology of Activities

Prior to the Consensus Calls

Prior to the remaining consensus call(s), ensure that

1. *all Examiners have used the correct Criteria (Business, Health Care, or Education) in their evaluations*
2. *all Examiners have completed their draft Item Worksheets and any other assignments. The backup team leader can assist with this task.*
3. *all Item Worksheets have been reviewed and commented on by the assigned Category/Item backups*
4. *all revised Item Worksheets and other assigned work have been distributed to all team members and the NIST/BNQP monitor*
5. *team members have reviewed all documents for each Item and are ready to serve as scorebook sponsors, as assigned*
6. *all Examiners know to connect with the conference call several minutes before the call is to begin*
7. *a copy of all communications, documents, and materials have been sent to all team members and to the NIST/BNQP monitor*

Team Leader Responsibilities—Chronology of Activities

Prior to the Consensus Calls
-continued

8. *a discussion of the consensus call agenda has occurred with the NIST/BNQP monitor*
9. *the consensus call agenda has been distributed to all team members and the NIST/BNQP monitor*

Team Leader Responsibilities—Chronology of Activities

Conduct the Consensus Calls

The calls include the following topics (See sample agenda in Section Five):

1. *a roll call by the operator*
2. *instructions if disconnected/procedures when on break*
3. *various roles (e.g., timekeeper, scorekeeper, process checker, etc.)*
4. *the role of the NIST/BNQP monitor*
5. *agenda review*
6. *ground rules*
7. *rules for consensus scoring (see Section Six)*
8. *Key Factors Worksheet*
9. *Key Themes Worksheet review (the team members discuss their initial impressions of the applicant's key themes)*
10. *the Item discussions, modeled by the team leader, including*
    - *criteria Item requirements*
    - *4–6 key factors for the Item*
    - *a review of strengths and OFIs*
    - *discussion of areas of agreement and differences*
    - *discussion of unique comments*
    - *consensus on strengths and OFIs*
    - *a review of Scoring Guidelines*
    - *consensus on scoring range*
    - *consensus on SVIs (if applicable)*
    - *assignment of a percentage score within an agreed-upon range*
11. *review and confirmation of Item scores*
12. *Key Themes Worksheet review and finalization*
13. *scoring results recap; review Score Summary Worksheet*
14. *next steps review. Confirm schedules and deadlines for*
    - *revisions*
    - *exchange of materials*
    - *submission of materials*
    - *production and submission of the final scorebook*
15. *review of site visit schedule; confirm Examiners' availability*

Team Leader Responsibilities— Chronology of Activities

Immediately Following the Consensus Calls

- ✓ Call the NIST/BNQP hotline (1-800-898-4506) after each consensus call to report that it has ended.

- ✓ Fax the Score Summary Worksheet to ASQ (1-414-765-7214) after the final call, only.

Team Leader and Scorebook Editor Responsibilities— The Consensus Scorebook

The consensus review process results in a consensus scorebook. NIST reformats the final consensus scorebook into a feedback report, which is presented to the applicant if it does not progress to Stage 3: Site Visit Review.

✓ Responsibility

The team leader is ultimately responsible for the preparation, the content quality, and the timely submission of the team's consensus scorebook with feedback-ready comments.

The team writes the consensus scorebook collaboratively. That is, the Category/Item leads are responsible for preparing the Item Worksheets, and team members are responsible for reviewing and agreeing upon final comments.

The scorebook editor completes the Key Factors and Key Themes Worksheets and edits the Item and Key Worksheets to ensure they meet the Comment Guidelines.

The team leader reviews all worksheets to ensure that they have been revised to reflect the discussion on the consensus call and has the ultimate responsibility to review and approve the quality of the scorebook.

✓ Timely Submission

The final, edited, and feedback-ready consensus scorebook (paper copy and diskette/CD) must arrive at NIST by the specified deadline (see the Consensus Review Timeline in Section One)**.** The team leader and scorebook editor retain a copy of all materials sent to NIST (both paper copy and diskette/CD) until notified by ASQ that the feedback report has been sent to the applicant. This will facilitate any discussions concerning the content during the NIST editorial process. If the applicant proceeds to Stage 3, the consensus scorebook will serve as the starting point for site visit planning.

In order to meet the deadline for submission to NIST, team leaders must allow time following the consensus call(s) for revisions by Category/Item leads, editing and/or formatting

Team Leader and Scorebook Editor Responsibilities—The Consensus Scorebook
- continued

by the scorebook editor, and review and approval by the team leader.

The team leader's careful planning process during the preparation stage can minimize last-minute rework. Planning time for the team leader to review the draft worksheets before the consensus call allows him/her to guide the Category/Item leads during the revision periods both preceding and following the call(s). Emphasizing the role of the Category/Item backup to review the draft worksheets and ensuring time for this step before the consensus call will also reduce rework during the final preparation steps. Stressing the need for simple, uniform word processing formats and high-quality draft Item Worksheets in the earliest steps of the consensus process will make the scorebook editor's job more efficient at the editing stage.

✓ Preparation

Section Six of this manual contains additional, detailed instructions for producing the consensus scorebook. Detailed, step-by-step instructions for scorebook editors will be mailed following the Judges' meeting.

Maintaining Confidentiality

During consensus, it is crucial that all Award materials remain confidential, including all printed materials, faxed materials, e-mails, and computer files. In addition, an Examiner cannot ask another individual who is not a Consensus Team member to transcribe written documents relating to the Award application evaluation. The application and all Examiner evaluation materials should be kept in a secure location when not in use. E-mail may be used in general planning (e.g., for distribution of agendas or biographies); however, no MBNQA evaluation materials may be sent by e-mail due to the difficulty of securing Internet communications. Likewise, if a fax machine is used to exchange drafts and comments among Examiners, confidentiality must be maintained. MBNQA evaluation materials may be faxed **only** if the Examiner receiving the fax has a **secure fax** or is at the fax machine to **receive the material as it arrives.** The sending Examiner must call the receiving Examiner before faxing the material to verify that he/she can go to the fax machine to receive the confidential materials. **This material must be marked "confidential."** Evaluation materials also may be exchanged by overnight delivery.

Maintaining the confidentiality of the Award Program requires that computer (electronic) files be treated with the same degree of security as paper copies of Award application

Maintaining Confidentiality
-continued

materials. When not in use, electronic files should be removed from the computer hard drive and stored on a clearly marked diskette that is placed in a secure location with the written application materials (e.g., a locked file or file cabinet). Electronic files containing Award evaluations should never be placed on a computer hard drive or diskette where anyone other than the Examiner has access to the file.

Many word processing software systems and some computer systems automatically create a backup file. Each Examiner needs to determine if a backup file is automatically created, and, if so, where it is located and what it is named. Backing up files is important and Examiners are urged to do so. Examiners also are urged to be certain that backup files are treated with the same degree of security as the working files.

After the consensus calls are completed and changes incorporated into the drafts, each Examiner should send both a paper copy and a copy of the associated electronic files on diskette for each section to the team leader and scorebook editor. Once the Examiner has verified that both the team leader and scorebook editor have received both copies of each section, the Examiner should remove all electronic files (including backup files) from the hard drive, store the files on a diskette, and keep the diskette in a secure location. If the applicant does not go on to receive a site visit, each Examiner will need to return all Award materials to ASQ and to delete the associated electronic files. It is then desirable to reformat the diskettes so the file/information cannot be retrieved using software recovery programs.

If the applicant is selected for a site visit, the Site Visit Team will coordinate computer use.

Planning Computer Use

In the team's planning call, discuss computer use, and, if possible, identify someone on the team to coordinate it and ensure that there will be compatibility among the computer files generated by the team members.

✓ Develop a plan to produce compatible computer output (files). This should include

1. *the word processing software version and diskette or CD format to save shared files (e.g., Word 6.0/95). Macintosh users should convert the file to a PC-compatible file.*
2. *a file naming convention*
3. *document format requirements:*
   - *font: Times New Roman and 12 point type size*
   - *margins: 1"*
   - *page numbering and location*

Planning Computer Use
-continued

- *line spacing: single space comments and double space between comments*

4. *page format/layout issues*

5. *format for Item Worksheets*
   - *Item number on the first line*
   - *key factors (4–6)*
   - *Text-only comments, i.e., no bold, underlining, colors, etc.*
   - *Use tabs for spacing between*
     - *left page margin and + or –*
     - *+ or – and a, b, c*
     - *a, b, c and first word of the comment*

✓ Determine which team member is responsible for each scorebook worksheet.

✓ Ensure each Examiner has the most current version of virus detection software and ensure each Examiner checks all diskettes, CDs, and the hard drive for computer viruses.

✓ Ensure that all files have up-to-date backups created.

✓ Ensure that backup files are kept on separate diskettes/CDs and that write-protect tabs are in place.

✓ If mailing diskettes or CDs, use a protective mailer for transit.

Options for Developing Site Visit Issues

Each Site Visit Team must draft and reach consensus on 2–4 SVIs per Item that the team will clarify or verify when on site. The Consensus Team leader has the discretion to decide when each step of the SVI development process (drafting, reviewing, and revising SVIs) will take place and who will participate.

1. Options for **WHEN** SVIs are developed:
   - **The traditional process occurs during Stage 2**. Each Item lead drafts 2–4 SVIs per Item during the consensus planning phase. The drafts are reviewed by Item backups and then revised by the Item leads before the consensus calls. During the consensus calls, the team discusses and reaches consensus on all SVIs for all Items. Use of this traditional process is optional. Team leaders who are relatively confident that their consensus applicant will move on to a site visit may wish to continue this process. Others may wish to wait until they are certain that their applicant is moving on to Stage 3. The disadvantage of waiting is that it will increase the amount of work the site visit team must accomplish during the Stage 3 planning phase.

Options for Developing Site Visit Issues
-continued

- **Between the Stage 2 and Stage 3 (September 14–17).** After the submission of the team's Stage 2 scorebook, there are a few days before the Judges' meeting (where decisions are made concerning which applicants will receive a site visit). Team leaders can use this time for the development of SVIs. Possible options for who should prepare the SVIs are discussed below.

- **Early in the Stage 3 planning phase**. Team Leaders may wait to develop SVIs until they learn if their applicant will receive a site visit. This decision will be made at the Judges' meeting on September 17. Waiting until this time will increase the amount of work that must be accomplished during the site visit planning phase, but it will guarantee that the SVIs will be used. Possible options for who should prepare the SVIs are discussed below.

2. Options for **WHO** participates in the phases of SVI development**:**

   - **Drafting SVIs**: The Team leader may draft all the SVIs, have the backup team leader draft all of the SVIs, have Item leads draft SVIs for their assigned Items, or assign a combination of team members to draft them.

   - **Reviewing Draft SVIs**: The Team leader will assign one or more members of the team to review the SVIs and give feedback to the drafter(s). The reviewers can be one or more team members (e.g., team leader, backup team leader, the Item backups from the consensus stage, Senior Examiners on the team).

   - **Revising Draft SVIs**: The original drafter(s) will revise the SVIs based on feedback from the reviewer(s).

Reaching Consensus on SVIs—The entire team must reach consensus on all the SVIs. This can be done during the consensus calls, the period between Stages 2 and 3, or during the early part of the Stage 3 (site visit) planning process.

The use of the Item Worksheet and the SVI Worksheet— SVIs should appear on the appropriate Item Worksheet in the section labeled **"Site Visit Issues (For Stage 3, Site Visit Use)."**

Options for Developing Site Visit Issues
-continued

If the applicant is selected for a site visit, each Item/Category lead will copy and paste each SVI onto a separate SVI Worksheet and develop a strategy (e.g., documents to review, people to interview, questions to ask) for resolving the issue while on site.

SAMPLE PEER EVALUATION LETTER

MEMORANDUM

TO: Consensus Team Members

FROM: Award Process Team Members

SUBJECT: Peer Evaluation - 2004 Scorebooks

We are again requesting your cooperation in providing peer feedback by evaluating the 2004 scorebooks for your consensus application.

Attached you will find instructions for reviewing scorebooks and a form for recording your assessment. Please complete one of the enclosed Peer Evaluation Forms for each Stage 1 Scorebook that you have received.

Your evaluation should be based on the value of the scorebook to you in preparing your consensus drafts. Please be constructive in your comments.

The evaluation forms will be forwarded to the Examiner who prepared the scorebook to provide him/her with feedback on the value of his or her work to fellow Examiners. Since Examiners have asked for feedback on their performance, your assessment will be appreciated.

Please complete the forms after you have prepared your draft consensus assignment. Return the forms to Bob Fangmeyer at NIST in the enclosed envelope marked "*Peer Evaluations*" after your consensus call (by September 15, if possible).

Thank you for your willingness to provide feedback to your fellow Examiners.

2004 PEER EVALUATION REVIEW PROCESS

(Completed by Category/Item Leads and/or Scorebook Editors)

Materials Needed

1. *Criteria for Performance Excellence* for applicable sector (Business, Education, or Health Care)
2. Comment Guidelines
3. Scorebooks or worksheets for the assigned applicant
4. Blank 2004 Peer Evaluation Forms

Preparation

1. Complete the header information on each review sheet: scorebook prepared by (Examiner name), applicant #, reviewed by (your name), and date (that you are doing the evaluations).
2. Complete one Peer Evaluation Form for each 2004 scorebook that you used in your work.

Review and Rate Scorebooks

Respond to the following statements either with a yes/no or with a rating from 1 (poor) to 5 (excellent).

1. *Key Factors Worksheet*
   - Check to be sure that the worksheet is a bulleted list of the most significant facts/characteristics for the applicant and is correctly divided into five sections (organizational environment, organizational relationships, competitive environment, strategic challenges, and performance improvement system).
2. *Item Worksheets*
   - Check to be sure that you have a complete set of Item Worksheets (19 for business, health care and education).
   - Scan the Item Worksheet pages and check that the six to ten comments *visually approximate* the score; for example, you might see four strengths and four OFIs for a score of 50%.
   - Scan the Item Worksheet pages and check to see that the number of comments is reasonably balanced across all Categories; for example, no strength or OFI section of an Item Worksheet is blank, or no one worksheet or set of worksheets has an excessive number of comments.
   - On Results Items, check to see that comments identified gaps, levels and trends, segmentation, and the appropriate comparisons.
3. *Comment Guidelines*
   - Rate the Examiner’s compliance with each of the Comment Guidelines.
   - Circle specific problems from the list provided in item 3e on the evaluation form.
4. *Key Themes Worksheet*
   - Check that the comments answer the three Key Themes questions (most important strengths, significant opportunities, and significant results) and that the worksheet presents an overall summary of the key points of the application evaluation, taking into account Item linkages, key factors, and core values.
5. *Overall Scorebook Quality*
   - Considering all of your responses to the above guidelines, rate the overall scorebook quality.
6. *Comments*
   - Add any additional feedback (positive or developmental) that would be helpful to the original Examiner author in his/her future scorebook work.

Return your completed 2004 Scorebook Review forms to Bob Fangmeyer at NIST in the enclosed envelope.

2004 PEER EVALUATION FORM

SCOREBOOK PREPARED BY:_________________________ **APPLICANT # :**_____

REVIEWED BY:_____________________________________ **DATE:**_______________

Scorebook Guidelines Please check your role: Stage 1 Scorebook Editor _____ Stage 2 Category Lead ____ Stage 2 Scorebook Editor ____ **This review will be shared with the Examiner whose Scorebook you are evaluating**	**Poor**	**Fair**	**Good**	**Above Average**	**Excellent**	**Not Applicable**
1. Key Factors Worksheet—Concisely presents a bulleted list of the most significant facts and characteristics of the applicant's organization. Divided into five sections using the headings named in the “Preface: Organizational Profile.”	1	2	3	4	5	
2. Item Worksheets						
a. Appropriate number of strengths/OFIs for the Item score	1	2	3	4	5	
b. Number of comments balanced across Categories	1	2	3	4	5	
c. On Results Items, comments identified gaps, levels and trends, segmentation, and the appropriate comparisons	1	2	3	4	5	
3. Comment Guidelines						
a. Clearly specifies the strengths and OFIs in a single complete thought	1	2	3	4	5	
b. Comments address central requirements of the Criteria	1	2	3	4	5	
c. Comments reflect the most relevant and important key factors for the applicant	1	2	3	4	5	
d. Comments draw linkages across Items, or between an Item and the Organizational Profile	1	2	3	4	5	
e. Comments are “feedback ready.” If not, circle the following specific problem(s): Prescriptive Judgmental Beyond Criteria Conflicting + and OFI Parrots application Too general Uses jargon Critical tone Acronyms not used by applicant Vague	1	2	3	4	5	
4. Key Themes Worksheet—Presents an overall summary of the key points of the application evaluation, taking into account important Item strengths, OFIs, key factors, and core values	1	2	3	4	5	
5. Overall Scorebook Quality	1	2	3	4	5	

Please provide a comment on the overall quality of the Scorebook:____________________________
____
____
____
____

Please provide an example for problems noted in item 3e above: _______________________________
____
____
____
____

Section Four

Sample Communications From ASQ

LETTER TO TEAM LEADERS

Dear *Team Leader*:

Thank you for agreeing to lead the Consensus Team for #XX-00. The success of the consensus process is critically linked to how well the team prepares for, participates in, and follows up after the consensus calls. As team leader, you are responsible for planning and leading the consensus process, mentoring the team, and ensuring the timely completion of the final consensus scorebook.

Preparation is a critical aspect of the consensus process; please review the enclosed *Consensus Manual* and Quickstart Instructions for Team Leaders. They are also available on-line at www.baldrige.nist.gov/Examiner_Resources.htm. Please pay particular attention to the initial steps in the planning process, e.g., scheduling calls, preparing instructions for the team. Planning calls must occur between August 11 and August 18; consensus calls must be held August 30 through September 3 and September 7 and 8.

All team members who read the application at Stage 1 will receive scoring data and scorebooks prepared by the Stage 1 Examiners, including the Examiners who have not moved on to Stage 2. *New team members, <u>including new team leaders</u>, must evaluate the application, develop Key Theme Worksheets, and fax the worksheets to ASQ (414-765-7214) by **August 17, 2004**.* ASQ will forward the worksheets to all team members when it receives them. New team members will receive copies of all scoring data and completed scorebooks when they complete their Key Themes Worksheets.

<u>Enclosures</u>: The instructions and materials will vary depending on whether you are an original read to the team (you read the application at Stage 1) or you are a new read to the team (you did not read the application at Stage 1). On the page that follows, find the check box that corresponds to your situation, and ensure that you have all pertinent materials. Please call the ASQ Baldrige Department immediately at 414-765-7205 if you are missing any materials.

<u>Contacting your team</u>: Contact your team members by **August 4, 2004,** to introduce yourself and to discuss the schedule of calls and tentative team assignments. In addition, send your completed biography form to your team by August 4.

<u>Protecting confidentiality</u> of the applicant is paramount and a challenge during the consensus process.

- In your **written work or in discussions** with your team members, refer to the applicant only by its number, as "the organization," or as "the applicant."
- When **faxing** materials to your team members, the receiving fax machine must be secure, or the recipient must be available to personally retrieve the fax as it is being sent.
- **E-mail** may NOT be used for consensus materials unless the materials are purely administrative (e.g., agendas, ground rules for the calls), and they contain no mention of the applicant.
- **Phones** must be secure—cellular and portable phones are **NOT** secure.

<u>Problems:</u> If your schedule has changed and you are no longer available to participate in consensus, or if you have any concerns or questions, please contact:

Debbie Smyth	301-975-5312	Bob Fangmeyer	301-975-4781
Sandra Byrne	301-975-4812	Mike Berry	301-975-8312
Mark Shapiro	301-975-3621		

☐ **<u>TEAM LEADER—ORIGINAL READ:</u>**

____ You will be leading an INTACT team. All Examiners read and scored the application in Stage 1.

____ One or more members of your team are new to the application in Stage 2: Consensus Review. New team members have until **August 17, 2004**, to return their completed Key Themes Worksheets to ASQ. ASQ will then forward the Key Themes Worksheets to you and all team members.

ENCLOSED:

1	Urgent Reply Form **(Fax, phone, or e-mail ASQ immediately upon receipt of package)**	7	Federal Express package to return final consensus scorebook to NIST **by September 14, 2004**
2	Blank Biography Form (**complete and send to team members by August 4, 2004, if possible)**	8	Stage 1: Independent Review scorebooks *except for new team member(s)*
3	Team Roster	9	Scoring data (*Stage 1 Examiner Scoring Table, Stage 1 Scoring Graph, Stage 1 Frequency Table)*
4	Quickstart Instructions for Team Leaders	10	Scoring Guidelines with Comment Guidelines on reverse side
5	Consensus Manual	11	Dates Unavailable Forms completed by team members
6	Scorebook cover	12	Peer Evaluation Forms and envelopes to return to NIST

☐ **<u>TEAM LEADER—NEW READ</u>**

As a new read to this team, **you must complete and return your Key Themes Worksheet to ASQ no later than August 17, 2004. Your Key Themes Worksheet may be faxed to ASQ at 414-765-7214.**

____ You will be leading an INTACT team. All Examiners read and scored the application in Stage 1.

____ One or more members of your team are new to the application in Stage 2: Consensus Review. New team members have until **August 17, 2004,** to return their completed Key Themes Worksheets to ASQ. ASQ will then forward the Key Themes Worksheets to you and all team members.

ENCLOSED:

1	Urgent Reply Form **(Fax, phone, or e-mail ASQ immediately to confirm receipt of package**)	8	Federal Express package to return Final Consensus Scorebook to NIST **by September 14, 2004**
2	Application (with Considerations for Reviewing Small Businesses, if applicable)	9	Stage 1: Independent Review scorebooks
3	Blank Biography Form **(complete and send to team members by August 4, 2004, if possible**)	10	Scoring data (*Stage 1 Examiner Scoring Table, Stage 1 Scoring Graph, Stage 1 Frequency Table)*
4	Team Roster	11	Scoring Guidelines with Comment Guidelines on reverse side
5	Quickstart Instructions for Team Leaders	12	Dates Unavailable Forms completed by team members
6	Consensus Manual	13	Peer Evaluation Forms and envelopes to return to NIST
7	Scorebook cover	14	Procedures and Federal Express envelope/label for returning materials to ASQ at the completion of Award cycle

Thank you for the commitment of your time during the 2004 Award cycle.

Peter LaBonte, MBNQA Program
Enclosuure

LETTER TO BACKUP TEAM LEADERS

Dear *Backup Team Leader*:

Thank you for agreeing to be backup team leader for Consensus Team #0XX-00. As backup, you will work with the team leader to plan the consensus process. The backup also assists the team leader in communicating with the other team members. Most importantly, the backup assumes the team leader role if the team leader is unable to fulfill the role.

Since preparation is such a critical aspect of the consensus process, please review the enclosed *Consensus Manual* and the Quickstart Instructions for Team Leaders. They are also available on-line at www.baldrige.nist.gov/Examiner_Resources.htm. Please pay particular attention to the initial steps in the planning process, e.g., scheduling calls, preparing instructions for the team. Planning calls must occur between August 11 and August 18; consensus calls must be held August 30 through September 3 and September 7 and 8.

Enclosures: The instructions and materials will vary depending on whether you are an original read to the team (you read the application at Stage 1) or you are a new read to the team (you did not read the application at Stage 1). On the page that follows, please find the check box that corresponds to your situation, and ensure that you have the materials listed under that check box. Please call the ASQ Baldrige Department immediately at 414-765-7205 if you are missing any materials. *New team members must evaluate the application, develop Key Theme Worksheets, and fax the worksheets to ASQ (414-765-7214) by **August 17, 2004***. ASQ will forward the worksheets to each team member when it receives them. New team members will receive copies of all scoring data and completed scorebooks when they complete their Key Themes Worksheets.

Team Leader Contact: The team leader will contact you by August 4, 2004, to discuss the consensus schedule and tentative team assignments. Remember that the team leader is trying to coordinate the schedule of six team members, so please be as flexible as possible.

Protecting confidentiality of the applicant is paramount and a challenge during the consensus process.

- In your **written work or in discussions** with your team members, refer to the applicant only by its number, as “the organization,” or as “the applicant.”
- When **faxing** materials to your team members, the receiving fax machine must be secure or the recipient must be available to personally retrieve the fax as it is being sent.
- **E-mail** may **NOT** be used for consensus materials unless the materials are purely administrative (e.g., agendas, ground rules for the calls), and they contain no mention of the applicant.
- **Phones** must be secure—cellular and portable phones are **NOT** secure.

Problems: If your schedule has changed and you are no longer available to participate in consensus, or if you have any concerns or questions, please contact:

Debbie Smyth	301-975-5312	Bob Fangmeyer	301-975-4781
Sandra Byrne	301-975-4812	Mike Berry	301-975-8212
Mark Shapiro	301-975-3621		

☐ **BACK-UP TEAM LEADER—ORIGINAL READ**

_____Your team consists of Examiners who have all read and scored the application in Stage 1.

_____One or more members of your team are new to the application in Stage 2: Consensus Review. New team members have until **August 17, 2004,** to return their completed Key Themes Worksheet to ASQ. ASQ will then forward the Key Themes Worksheets to you and all team members.

ENCLOSED:

1	Urgent Reply Form **(Fax, phone, or e-mail ASQ immediately receipt of package)**	7	Stage 1: Independent Review scorebooks
2	Updated Dates Unavailable Forms (**submit to team leader by August 6, 2004)**	8	Scoring data (*Stage 1 Examiner Scoring Table, Stage 1 Scoring Graph, Stage 1 Frequency Table)*
3	Blank Biography Form **(complete and send to team leader by August 6, 2004)**	9	Scoring Guidelines with Comment Guidelines on reverse side
4	Team Roster	10	Peer Evaluation Forms and envelopes to return to NIST
5	Quickstart Instructions for Team Leaders	11	Federal Express package to return final consensus scorebook to NIST by September 14, 2004 **(In the event that the backup assumes the team leader role)**
6	Consensus Manual		

☐ **BACKUP TEAM LEADER—NEW READ**

As a new read to this team, **you must complete and return your Key Themes Worksheet for the enclosed application to ASQ no later than August 17, 2004, via fax at (414) 765-7214**.

_____Your team consists of Examiners who have all read and scored the application in Stage 1.

_____One or more members of your team is new to the application in Stage 2: Consensus Review. You will receive a copy of any new team member's Key Themes Worksheet on or before August 19, 2004.

ENCLOSED:

1	Urgent Fax Form **(Fax immediately to ASQ to confirm receipt of package)**	7	Consensus Manual
2	Application	8	Stage 1: Independent Review scorebooks (*except for new team member[s])*
3	Updated Dates Unavailable Forms **(submit to team leader by August 6, 2004)**	9	Scoring data (*Stage 1 Examiner Scoring Table, Stage 1 Scoring Graph, Stage 1 Frequency Table)*
4	Blank Biography Form **(complete and send to team leader by August 6, 2004)**	10	Scoring Guidelines with Comment Guidelines on reverse side
5	Team Roster	11	Federal Express package to return final consensus scorebook to NIST by September 14, 2004 **(In the event that the backup assumes the team leader role)**
6	Quickstart Instructions for Team Leaders	12	Procedures and Federal Express envelope/label for returning materials to ASQ at the completion of Award Cycle

Again, thank you for the commitment of your time during the 2004 Award cycle.

Peter LaBonte, MBNQA Program
Enclosures

LETTER TO TEAM MEMBERS

Dear *Examiner*:

Thank you for being part of the Consensus Team for #0XX-00.

<u>Enclosures:</u> The instructions and materials will vary depending on whether you are an original read to the team (you read the application at Stage 1) or you are a new read to the team (you did not read the application at Stage 1). On the page that follows, please find the check box that corresponds to your situation, and ensure that you have the materials listed under that check box. Please call the ASQ Baldrige Department immediately at 414-765-7205 if you are missing any materials.

Note: <u>If you are a new read to this team,</u> you must read and evaluate the application and FAX a completed Key Themes Worksheet to ASQ at 414-765-7214 no later than August 17, 2004. *Upon receipt of your Key Themes Worksheet, ASQ will send you the remainder of the team's evaluation and scoring material. ASQ will then forward your Key Themes Worksheet to each team member.*

<u>Team Leader Contact:</u> The team leader will contact you by August 4, 2004, to discuss the consensus schedule and tentative team assignments. Remember that the team leader is trying to coordinate the schedule of six team members, so please be as flexible as possible. **The team leader will also ask you to submit a biography form and updated Dates Unavailable Forms by August 6.**

<u>Getting Started:</u> Preparation is a critical aspect of the consensus process; please review the enclosed Consensus Manual. It is also available on-line at www.baldrige.nist.gov/Examiner_Resources.htm. Please pay particular attention to the initial steps in the planning process, e.g., scheduling calls, preparing instructions for the team. Planning calls must occur between August 11 and August 18; consensus calls must be held August 30 through September 3 and September 7 and 8.

<u>Protecting confidentiality</u> of the applicant is paramount and a challenge during the consensus process.

- In your **written work or in discussions** with your team members, refer to the applicant only by its number, as "the organization," or as "the applicant."
- When **faxing** materials to your team members, the receiving fax machine must be secure or the recipient must be available to personally retrieve the fax as it is being sent.
- **E-mail** may **NOT** be used for consensus materials unless the materials are purely administrative (e.g., agendas, ground rules for the calls), and they contain no mention of the applicant.
- **Phones** must be secure—cellular and portable phones are **NOT** secure.

<u>Problems:</u> If your schedule has changed and you are no longer available to participate in consensus, or if you have any concerns or questions, please contact:

Debbie Smyth	301-975-5312	Bob Fangmeyer	301-975-4781
Sandra Byrne	301-975-4812	Mike Berry	301-975-8212
Mark Shapiro	301-975-3621		

☐ **TEAM MEMBER—ORIGINAL READ**

_____ Your team consists of Examiners who have all read and scored the application in Stage 1.

_____ One or more members of your team are new to the application in Stage 2: Consensus Review. You will receive a copy of any new team member's Key Themes Worksheet on or before August 19, 2004.

ENCLOSED:

1	Urgent Reply Form **(Fax, phone, or e-mail ASQ immediately receipt of package)**	5	Consensus Manual
2	Updated Dates Unavailable Forms **(submit to team leader by August 6, 2004)**	6	Stage 1: Independent Review scorebooks
3	Blank Biography Form **(complete and send to team leader by August 6, 2004)**	7	Scoring data (*Stage 1 Examiner Scoring Table, Stage 1 Scoring Graph, Stage 1 Frequency Table)*
4	Team Roster	8	Scoring Guidelines with Comment Guidelines on reverse side

☐ **TEAM MEMBER—NEW READ**

As a new read to this team, y**ou must complete and return your Key Themes Worksheet for the enclosed application to ASQ no later than August 17, 2004, via fax at (414) 765-7214**. After you and any other new team members have returned your completed Key Themes Worksheets to ASQ, it will send you a roster of team members, copies of all Stage 1 scorebooks and additional Key Themes, and the summary scoring data.

ENCLOSED:

1	Urgent Reply Form **(Fax, phone, or e-mail ASQ immediately receipt of package)**	5	Consensus Manual
2	Application	6	Scoring Guidelines with Comment Guidelines on reverse side
3	Updated Dates Unavailable Forms **(submit to team leader by August 6, 2004)**	7	Procedures and Federal Express envelope/label for returning materials to ASQ at the completion of Award cycle
4	Blank Biography Form **(complete and send to team members by August 6, 2004)**		

Thank you for the commitment of your time during the 2004 Award cycle.

Peter LaBonte, MBNQA Program
Enclosures

Section Five

Communication Among Team Members

TEAM MEMBERS TO TEAM LEADER

DATES UNAVAILABLE FORM: PLANNING CALL

Fax to Team Leader by *August 6*

To:_______________(Team Leader) From: _________________(Examiner)

I am **unavailable** to participate in conference calls for the consensus process at the following times on the specified days below. The times are indicated in **Eastern Daylight Time (EDT)**.

Time EDT	8/11 Wed	8/12 Thurs	8/13 Fri	8/14 Sat	8/15 Sun	8/16 Mon	8/17 Tues	8/18 Wed
6:00 AM								
6:30								
7:00								
7:30								
8:00								
8:30								
9:00								
9:30								
10:00								
10:30								
11:00								
11:30								
Noon								
12:30 PM								
1:00								
1:30								
2:00								
2:30								
3:00								
3:30								
4:00								
4:30								
5:00								
5:30								
6:00								
6:30								
7:00								
7:30								
8:00								
8:30								
9:00								
9:30								
10:00								
10:30								
11:00								
11:30								
Midnight								

DATES UNAVAILABLE FORM: CONSENSUS CALLS

Fax to Team Leader by *August 6*

To:_______________(Team Leader)   From: _________________(Examiner)

I am **unavailable** to participate in conference calls for the consensus process at the following times on the specified days below. The times are indicated in **Eastern Daylight Time (EDT)**.

Time EDT	8/30 Mon	8/31 Tues	9/1 Wed	9/2 Thurs	9/3 Fri	9/7 Tues	9/8 Wed
6:00 AM							
6:30							
7:00							
7:30							
8:00							
8:30							
9:00							
9:30							
10:00							
10:30							
11:00							
11:30							
Noon							
12:30 PM							
1:00							
1:30							
2:00							
2:30							
3:00							
3:30							
4:00							
4:30							
5:00							
5:30							
6:00							
6:30							
7:00							
7:30							
8:00							
8:30							
9:00							
9:30							
10:00							
10:30							
11:00							
11:30							
Midnight							

BIOGRAPHY FORM

Please complete and fax this form to the team leader by *August 6*.

TO: Team Leader

FROM:

Subject: Biography

Current Employer—short description of current job/responsibilities:

Experience in the Baldrige Review Process:

Work Experience in the Baldrige Categories:

Background/experience relevant to the applicant's business:

On a personal note (optional):

SAMPLE COMPLETED BIOGRAPHY FORM

TO: Team Leader - Consensus Team #XX

FROM: Jane Doe

Subject: Biography

Current employer—short description of job/responsibilities:
I currently work for XYZ corporation as the Director of Strategic Planning. I manage a staff of 10 people who oversee the strategic planning process for our division. We assist department managers in identifying future needs and materials that align with the strategic objectives set by our parent organization.

Experience in the Baldrige Review Process:
This is my third year as a Malcolm Baldrige Examiner. I am also a Judge in my state award program. At the national level, I have participated in the consensus and site visit processes (for a health care applicant). As a Judge at the state level, I have reviewed and recommended state award recipients from business and health care organizations.

National Level:
- Led Category 2 – Strategic Planning
- Backup for Customer and Market Focus

My strongest categories are:
- Category 2 – Strategic Planning
- Category 4 – Measurement, Analysis, and Knowledge Management

My weakest categories are:
- Category 3 – Customer and Market Focus
- Category 5 – Human Resource Focus

Work Experience in the Baldrige Categories:
Extensive experience in Categories 1, 2, and 7 within my organization and formerly as a consultant in my own business.

Background/experience relevant to the applicant's business:
Minimal experience directly related to the specific business, but I have a lot of experience from prior work with service organizations that have over 700 employees.

On a personal note:
My husband and I are active in our church and community. We enjoy traveling and working in the yard.

TEAM LEADER TO TEAM MEMBERS

SAMPLE TEAM LEADER PLANNING LETTER

Date

To: Consensus Review Team Members - Applicant XXX
From: (Team Leader name)

Welcome to Team *YR-XXX*! Having spoken with each of you, I am happy to report that NIST has assembled a team with great experience and diversity. I look forward to working with you and doing an excellent job for our applicant and the Judges. We have a lot to do!

Consensus Review Team Calls: to reconfirm our schedule, we have set up the following calls.

Type of Call	Date	Time
Planning Call	Wednesday, August 18	2:00–3:00 p.m. EDT
Consensus Call	Wednesday, September 1	9:00 a.m.–1:00 p.m. EDT
Consensus Call	Thursday, September 2	12:00 noon–4:00 p.m. EDT

You should all be receiving call instructions from ASQ shortly.

Item and Other Assignments:

Thank you for providing your biography with Item preferences. I have tried to balance your preferences, experience, and industry knowledge with team needs. Here are the assignments:

Examiner	Category/Item Lead	Backup	Other	Scorebook Sponsor
Team Leader #1	Items 1.1, 1.2, 7.6	Items 2.1, 2.2, 7.3		
Backup Team Leader #2	Items 3.1, 3.2, 7.1	Items 5.1, 5.2, 5.3, 7.4	Scorebook Editor, Key Themes Worksheet	
Examiner #3	Items 2.1, 2.2, 7.3	Items 1.1, 1.2, 7.6	Timekeeper/process checker	Examiner #1222
Examiner #4	Items 6.1, 6.2, 7.5	Items 4.1, 4.2, 7.2	Scorekeeper, Score Summary Worksheet	
Examiner #5	Items 5.1, 5.2, 5.3, 7.4	Items 3.1, 3.2, 7.1	Computer expert	
Examiner #6	Items 4.1, 4.2, 7.2	Items 6.1, 6.2, 7.5	Key Factors Worksheet, Criteria cop	Examiner #655

<u>Computer Use</u>
Are we all PC compatible? Can we all save/read CDs?
Use NIST electronic scorebook from Web at http://www.quality.nist.gov/04scorebook.htm, (WORD 6.0/95, Times New Roman, 12 point font)
Save on diskettes or CDs, not on hard drive.
Establish saving protocol, (e.g. save under Item number and version (e.g., Item 3.1 draft 1, 2, 3, etc.).
Use diskette/CD mailer to send to scorebook editor.

Close document before leaving your desk.
Do not destroy files until you have been instructed to do so by ASQ.
Use e-mail only for logistics, not for applicant-specific information.
Return application to ASQ when instructed to do so.

<u>Speakerphones and Headsets</u>

I recommend the use of a headset for all of our calls. While it may be easier to use a speakerphone, poor sound quality and noise from handling papers often interfere with the conversation. This is especially true if the speakerphone is sound activated. If you do use a speakerphone, use the mute button until you are ready to talk. You may wish to try out sound quality prior to the calls. Headsets have many advantages and often can be borrowed from your company. Headsets also can be purchased for about $45.00 from electronics stores.

<u>Call In Time</u>

I have found it is a good idea to dial in for the conference call five minutes early so you do not run into a delay getting connected by the operator. When team members are delayed in joining the calls, it requires adjustments in the schedule that could be difficult for the team. Your promptness will be appreciated by all.

<u>Planning Call Agenda</u>

I have attached a proposed agenda for our planning call. During the call, we will begin to get to know each other, and we will clarify our work process. In preparation for that call, the scorebook editor and I will fax to you proposed Key Factors and the draft Key Themes Worksheets.

<u>Proposed Ground Rules</u>

Here are some proposed ground rules. We will discuss these before the consensus calls, and we can modify them as we see fit.

- Be on time for all calls. Call in early to be sure you are connected at the start of the call.
- Identify yourself when speaking. For example, "This is XXXXXX. I suggest...."
- Focus scoring discussions using the applicable Scoring Guidelines.
- No one "owns" any Item. We are trying to get the best collective thinking.
- We begin and end on time by sticking to the overall schedule of events. We listen to our timekeeper. We actively manage our time.
- No **e-mail; only secure fax, diskette, or telephone for information transfer regarding the applicant.**
- Reports and paperwork are completed on time. We honor our scorebook editor's requests. We ask for help as needed to meet obligations.
- We will commit ourselves to utilizing Stage 1 scorebooks of Examiners not participating in the consensus process.
- As we do our work, we will make every effort to draft consolidated feedback-ready comments.
- We listen to other points of views, particularly those that are different, in addition to expressing our own. We can and should offer different perspectives, but we are striving for consensus. Consensus means we have heard, have been heard, and thus can and will support the team's outcomes.
- We will not proceed with the consensus call if any team member is missing.
- Each team member is responsible for the success of the team.
- HAVE ***FUN!***
- Others?

REMINDERS

XXXXX will be the NIST monitor for our calls. While an observer to the team, the NIST monitor plays an active role reviewing our process. So, please send the NIST monitor a copy of any materials that you send to everyone on the team.

Please review the just-in-time materials at www.baldrige.nist.gov/Examiner_Resources.htm.

Please remember, **do not fax** any material that in any way identifies the applicant until you have determined the fax is secure or that the person is available to receive it. If you are unable to fax securely, use Federal Express. You may use ASQ's Federal Express number that appears on the Federal Express airbills.

I also want to make a special request that each Examiner make every effort to draft feedback-ready comments. This will make compiling the final consensus scorebook more efficient. Also, our consensus discussions will be more productive.

As you prepare your work, you are to review and use the input from all scorebooks prepared at Stage 1, including those of Examiners who are not participating in the consensus process.

Please do not hesitate to call me in my office or at home for any reason. If I am traveling, I check my voice mail several times a day, so I should be able to respond quickly to any needs. I am looking forward to working and talking with each of you.

SAMPLE PLANNING CALL AGENDA

Planning Call—Application #XXX

Proposed Agenda

Date and Time of Call

5 minutes	Introduction (team and NIST/BNQP monitor)
1 minute	Reconnect procedures
2 minutes	Confirm materials received and no cellular phones being used
4 minutes	Ground rules—review proposed rules, suggest additions or modifications
2 minutes	Computer support—determine process and format, address issues
8 minutes	Review proposed Key Factors and Key Themes Worksheet if new members on the team have submitted their completed Key Themes to ASQ by the time of the call
10 minutes	Review team members' Item and other assignments
10 minutes	Discuss/agree on preparation required for consensus review process
5 minutes	Discuss the role of the scorebook editor
8 minutes	Review/approve consensus call agendas
2 minutes	Review timeline from now to submission of consensus scorebook
2 minutes	Review/update address, phone, fax, e-mail (note secure or not); provide confidentiality reminder
2 minutes	Check site visit availability
2 minutes	Closing—reminder: peer evaluation forms

SAMPLE
CONSENSUS CALL PROCESS

Date

TO: Consensus Team Members
From: Team Leader

Greetings. Thank you for your responsiveness regarding the start-up of our work together. I have outlined process requirements for preparing us for the consensus call.

<u>Homework and Preparation for Consensus Call</u>

Following are proposed instructions to get ready for the consensus call:

- Using all of the assigned scorebooks, including those of Stage 1 Examiners not participating in consensus prepare a draft Item worksheet for each Item on which you are the lead. The draft should contain 4–6 key factors for the Item and a summary of key (6–10) strengths and opportunities for improvement. Your summary should be a synthesis of the collective thinking of the team.

- Reread the Comment Guidelines on the reverse side of the applicable Scoring Guidelines. Follow the Comment Guidelines. For example, in most cases you will have 6–10 comments per Item; each comment will contain a single, complete thought. By using no more than 10 comments, you will be identifying only the most important points for each Item. Also use the *Guidance for Producing a Well-Written Scorebook* contained in the scorebook instructions to assist you in comment writing.

- Identify issues causing scoring differences and the reasons.

- Indicate the scoring range you recommend (e.g., 30–45%). Have a specific score in mind, but wait until after the team reaches consensus on the scoring range before proposing the score. This keeps your mind more open to accept and integrate input from the consensus discussion.

- Refer to the applicant only as "applicant" and not by the organization name to ensure confidentiality.

- (Optional) Identify and list the top 2–4 SVIs per Item. These should be the most important areas to clarify or verify. Think through how you will pursue resolution of these issues, in the event the applicant is selected for a site visit. The reason for limiting the number of SVIs is that it is very difficult to address more than 4, and the purpose is to verify/clariy only **key** issues.

- Send your draft Item Worksheets to your backup. Use a secure fax or Federal Express. The role of the Category/Item backup is to give constructive feedback to the Category/Item lead, focusing on the central requirements of the Criteria, in light of the key factors for this applicant. This process should be **<u>completed</u>** by *XXXXX*, at the latest. Earlier is better.

- Revise your draft Item worksheets, using input from your backup, and fax (or Federal Express) a copy of the final draft of your Item Worksheets to all teammates and to the NIST monitor to arrive by *XXXXX*. When faxing, remember to call before sending if the recipient does not have a secure fax, to maintain confidentiality.

- Read all the draft consensus materials from your teammates in preparation for our consensus call on *XXXX*. Review Item Worksheets to identify any issues raised in the Stage 1 scorebook for which you are the sponsor that are not covered in the drafts.

Consensus Call

By this time, there will have been quite a bit of Examiner interaction through dialogue between Category/Item leads and backups. The purpose of the call is to reach consensus among all of the team members on all parts of the consensus scorebook.

Proposed process for Item discussion

The lead for each Item presents

- a brief summary of the Criteria requirements
- key factors relevant to the Items; note agreement with or differences from those on the draft Key Factors Worksheet
- strengths/OFIs; note agreement/differences
- summary of comment differences causing scoring differences
- proposed scoring range
- site visit issues (if applicable)

The team discusses

- the most important strengths and OFIs and resolves differences in team members' evaluation of the applicant
- input, as appropriate, from scorebooks of Stage 1 Examiners not on the call
- the scoring range
- the consensus score
- site visit issues (if applicable)

The lead for the Item

- summarizes and records the discussion
- checks for consensus on comments, the scoring range, and the score (and site visit issues, if applicable)

Post-Consensus Call Requirements

Please complete the following steps after the consensus call.

WHAT	WHO	WHEN COMPLETED
Call consensus hotline (1-800-898-4506) to report that call is finished	Team Leader	Immediately after each consensus call
Send Score Summary Worksheet to ASQ	Team Leader	Upon completion of final consensus call
Revise Item Worksheets per decisions made on the consensus call	All	*Date*
Complete and send Peer Evaluation Forms to NIST	All	*Date*
Send paper copy of revised Item Worksheets via Federal Express to team leader, scorebook editor and NIST monitor; in addition, send copy on diskette to scorebook editor	All	For arrival no later than *Date*
Draft the consensus scorebook	Scorebook Editor	*Date*
Send final scorebook to NIST	Scorebook Editor/ Team Leader	For arrival no later than *Date*

Thanks for reviewing all of this material. Your hard work is appreciated, and I look forward to working with each of you!

cc: NIST/BNQP Monitor

SAMPLE
CONSENSUS REVIEW SCHEDULE
(for intact team)

APPLICANT XX-XXX

MO/DAY	Fax biography and updated Dates Unavailable Forms to team leader.
MO/DAY	Conduct the consensus planning call.
MO/DAY	Exchange draft Item Worksheets with Category/Item backup.
MO/DAY	Distribute the second draft of Item Worksheets and all other drafts to team members and the NIST monitor.
MO/DAY	Conduct the consensus call.
MO/DAY	Conduct the consensus call.
MO/DAY	Send revised Item Worksheets and all other worksheets to the team leader, scorebook editor, and NIST monitor.
MO/DAY	Send scorebook peer reviews to NIST for distribution.
MO/DAY	Scorebook editor sends consensus scorebook to the team leader for review.
MO/DAY	Team leader approves the final consensus scorebook.
MO/DAY	Team leader sends to NIST by Federal Express the final consensus scorebook to NIST with feedback-ready comments (paper copy and diskette/CD for all word processed portions) for arrival no later than ***September 14.***

SAMPLE
CONSENSUS CALL AGENDAS

Dates and Times of Calls

TO: Consensus Team Members
From: (Team Leader - Name)
Cc: NIST Monitor

Thanks again for the time spent and input provided during the planning call the other day. I hope you all felt it was as productive as I did. The time spent, and the agreements made, should help the consensus calls go very smoothly and efficiently.

We will use the following agenda for the consensus calls:

DAY 1

Introductions, Ground Rules,		
Reconnection/break procedures	Team Leader	5 minutes
Review agenda and roles	Team leader	3 minutes
Review draft key factors	Examiner #6	5 minutes
Review draft Key Themes Worksheet	Scorebook editor	10 minutes
Items 1.1, 1.2, 7.6	Team leader	40 minutes
Process check (NIST monitor may leave the call after the check)	Process checker	10 minutes
Items 3.1, 3.2, 7.2	Examiner #2	40 minutes
Items 6.1, 6.2, , 7.5	Examiner #4	40 minutes
Recap Scores	Scorekeeper	5 minutes
Call consensus hotline (1-800-898-4506)	Team leader	1 minute

DAY 2

Introduction/recap/questions for NIST monitor		10 minutes
Items 4.1, 4.2, 7.1	Examiner #6	40 minutes
Items 5.1, 5.2, 5.3, 7.4	Examiner #5	50 minutes
Items 2.1, 2.2, 7.3	Examiner #3	40 minutes
Confirm scores	Scorekeeper	5 minutes
Finalize key factors	Examiner #6	5 minutes
Finalize key themes	Scorebook editor	15 minutes
Next Steps	Team leader	10 minutes
Call consensus hotline (1-800-898-4506)	Team leader	1 minute

SAMPLE TEAM LEADER THANK YOU NOTE

Date

Dear Consensus Review Team Members:

I would like to express my appreciation to each of you for your personal effort and teamwork in preparing for and reaching consensus on application # -XXX.

Your prework, leadership, teamwork, and follow-up made my task much easier than it might have been. As a team, we have provided the applicant with a fair and thorough review, and we have given the Judges the information they will need to make their determination.

One final request: if you have not done so already, please complete the Peer Evaluation Forms and return them to NIST/BNQP. You were provided the forms and an envelope addressed to NIST in an earlier mailing from ASQ.

Once again, thank you for your assistance.

Sincerely,

Team Leader

Section Six

Instructions, Samples, and Tools for the Consensus Process

STEPS FOR CREATING A DRAFT CONSENSUS ITEM WORKSHEET

1. Isolate your Items from the rest of the Stage 1 scorebooks.
   – Physically separate your Items from the rest of the scorebooks to minimize confusion and to help you organize your work.
2. Begin by reviewing the Criteria requirements.
3. Select 4–6 key factors.
4. Using all Stage 1 scorebooks, identify the core idea of each comment, noting similarities and differences in Examiners' evaluations of the applicant.
   – Be sure to include the ideas from "phantom" scorebooks, if any.
5. Determine the 6–10 most important and relevant core ideas for the applicant.
6. Write a comment for each of the 6–10 core ideas. Start with the best statement of the ideas in Stage 1 and add from others as needed. (For an example, see "Synthesizing a Stage 2 Comment from Four Stage 1 Comments, p. XX)
   – Note in parentheses after the comment which Examines had the same core ideas in their Stage 1 scorebooks.
   – Include outlier comments if they rise to the level of the 6–10 core ideas for the applicant.
7. Following your 6–10 comments, insert a section with Stage 1 scorebook comments that were not used (outliers and other comments), and include the reason these comments were ommitted (e.g., beyond the criteria)
8. Propose a solution to resolve any conflicts between strengths and OFIs.
   – Not every Examiner will agree during the independent evaluation — one Examiner might see an approach as a strength, while another may see it as an OFI. You must propose a resolution as part of your drafting task.
9. Finalize your comments using the Comment Guidelines.
   – It is important to make draft comments "feedback ready."
   – Propose a scoring range.
10. If directed by your team leader, draft 2–4 site visit issues based on the comments.
11. Send draft comments to the Item backup.
12. Revise drafts, incorporating the backup's input.

SYNTHESIZING A STAGE 2 COMMENT FROM FOUR STAGE 1 COMMENTS

Comments from four different Stage 1 scorebooks on the same area to address:

+/ ++	Item Ref.	KF Ref.	
+	1.1c1,3		The Steering Team meets weekly to review organizational capabilities and performance regarding associate activities; supplier and partner technology capabilities; safety, health, environment, and community relations; and progress on strategy. **Monthly Navigation Reviews are used to identify improvements and areas where strategy is at risk. Kaizen improvement project teams are chartered and deployed throughout the organization to address at-risk areas.**
+	1.1c.1		The Steering Team made up of the senior leaders meets weekly to review and discuss the applicant's organizational performance and capabilities. Each meeting is convened around one of four topic areas: *(1) Successful Associates/Successful Teams; (2) Right Technology; (3) Right Environment; and (4) Navigation Reviews (progress to the Strategy Map).*
+	1.1c.3		KAIZEN Improvement Project Teams are formed by the Steering Team when performance reviews indicate that a performance target is at risk. KAIZEN teams are directed at the level where the target is at risk, either at the department/team level or sitewide. <u>Suppliers and partners are involved in KAIZEN teams when their performance is a contributing factor.</u>
+	1.1c.1		<u>**The Steering Team reviews performance weekly in one of four topic areas including three of the five values**</u>, and Navigation Reviews. The monthly Navigation Reviews focus on company-level measures, Course Coordinates and linked lower-level measures, to determine whether course corrections are needed to address changing organizational needs.

Sample of a synthesized Stage 2 comment on the same area to address:

+/ ++	Item Ref	KF Ref	
+	1.1c.1,3		<u>**The Steering Team reviews performance weekly in one of four topic areas (including three of the five values): (1) Successful Associates/Successful Teams**</u>; *(2) Right Technology; (3) Right Environment; and (4) Navigation Reviews (progress to the Strategy Map)*. The **monthly Navigation Reviews, which focus on company-level measures called Course Coordinates, are used to identify improvements and areas where strategy is at risk. Kaizen improvement project teams are chartered and deployed throughout the organization to address at-risk areas**. <u>Suppliers and partners are involved in KAIZEN teams when their performance is a contributing factor.</u>

SAMPLE SCRIPT
PRESENTATION OF ITEM 1.1 SUMMARY
(based on attached Item 1.1 Worksheet)

Criteria Requirements—Item 1.1 asks how senior leaders set and deploy values, short- and longer-term directions, and performance expectations and balance the value for customers and other stakeholders in performance expectations. This includes how leaders create an environment for empowerment, innovation, organizational agility, learning, and ethical behavior.

It also asks how the governance system ensures fiscal accountability and independence in audits and how it protects stakeholder interest.

Item 1.1 asks how senior leaders review organizational performance, what key performance measures are reviewed regularly, and how review findings are used to drive improvement and innovation, including improvement in the effectiveness of leaders and the board of directors.

Key Factors

1. Mission—provide high-quality polymers that make customers more competitive and provide value to shareholders
2. Vision of skilled associates developing and delivering plastics for a healthy planet
3. Three guiding principles
    - Support communities
    - Achieve highest ethical standards
    - Invest in a future society
4. Five G-ORB Values
    - Growth through Partnerships
    - Right technology
    - Right cost
    - Right environment
    - Successful associates/successful teams
5. Board of Directors for the parent corporation composed of four internal and eight external members; has four standing committees: Nominating, Compensation, Audit, Litigation
6. Performance improvement approaches include Hoshin Kanri and Kaizen Improvement Process

Comment Summary— I have five proposed strengths.
Comment 1. Focuses on the steering committee's use of the GSAC process as part of the GPS to set and deploy short- and longer-term directions.

Comment 2. Focuses on how senior leaders communicate values, directions, and expectations through the Hoshin Catchball Process, company newsletter, and a number of other methods.

Comment 3. Focuses on the team-based culture, which facilitates target setting and planning and contributes to an environment for empowerment and associate involvement.

Comment 4. Focuses on the governance system, external and internal audits, and how governance practices help ensure the protection of stockholder and stakeholder interests.

Comment 5. Focuses on weekly organizational performance reviews, monthly Navigation reviews, and the use of the Kaizen Improvement Project teams to address at-risk areas.

Strengths not used: None

Proposed OFIs—I have three proposed OFIs.
Comment 1. It is unclear how the board's guiding principles or its committee structure address management accountability, fiscal accountability, or the protection of stakeholder interests at all levels of the organization.

Comment 2. It is unclear how senior leaders translate performance review findings into priorities for improvement and how both priorities and opportunities for improvement are deployed throughout the organization and suppliers and partners.

Comment 3. There is no evidence of a systematic process for evaluating the performance of the CEO or the Board of Directors. It is unclear how senior leaders use organizational performance review findings to improve their leadership effectiveness.

OFIs not included
I did not include the OFI that focuses on how the applicant monitors ethical behavior throughout the organization. This comment addresses Item 1.2b, Ethical Behavior, not Item 1.1b, Organizational Governance.

Proposed Site Visit Issues—I propose four SVIs.

- The first SVI covers Strengths 1 and 2 by verifying the Steering Team's use of the GSAC/GPS to establish and monitor short- and long-term direction and senior leadership's use of the Hoshin Catchball Process and other approaches to communicate values, directions, and expectations to associates.
- The second SVI covers the governance system. It addresses Strength 4 by verifying the approaches associated with the governance system, including performance and review of external audits, independent board members, and use of the Code of Conduct. It also covers OFI 1 by clarifying how the governance system addresses management accountability, fiscal accountability, and the protection of stakeholder interests.
- The third SVI covers Strength 5 by verifying that Gyroscope Course Coordinates are reviewed in monthly Navigation Reviews and that weekly reviews are focused on key topics, including values. It also covers OFI 2 by clarifying how senior leaders translate review findings into improvement priorities and deploy priorities through the organization and to suppliers/partners.
- The fourth SVI addresses the refinement of the senior leadership system and improvement of senior leadership performance. This covers OFI 3 by verifying the use of the Leadership Assessment Session to evaluate Steering Committee performance and clarifying whether a systematic process exists for evaluating CEO/COD performance and how senior leaders use organizational performance review findings to improve the effectiveness of their own leadership or that of the leadership system.
- Strength 3 on the team-based culture is not covered by my SVIs. I recommend that it be covered by the Category 5 lead when work systems are verified, perhaps by walk-around questions.

Score
It appears that the applicant's approaches meet the overall requirements of the Item but not the multiple requirements of the Item, especially in the area of governance and organizational performance review. Deployment varies in some areas or work units. I believe the applicant's "learning" in terms of evaluation and improvement of the leadership system and senior leadership performance is in the beginning stages, but the

learning from the Course Coordinates and the use of Kaizen improvement teams appears to be effective. Overall, the best description of the applicant's level of achievement in this Item is the 50–65 range.

I propose a scoring range of 50–65.

SAMPLE ITEM WORKSHEET

Item Worksheet—Item 1.1

Indicate the 4–6 most important key business/organization factors relevant to this Item.

1. Mission: Provide high-quality polymers that make customers more competitive and provide value to shareholders.

2. Vision is "Skilled associates developing and delivering plastics for a healthy planet."

3. Three guiding Principles: Support Communities, Achieve Highest Ethical Standards, and Invest in a Future Society

4. Five Values: Growth Through Partnerships, Right Technology, Right Cost, Right Environment, Successful Associates/Successful Teams

5. Board of Directors for the parent corporation composed of four internal and eight external, independent members; has four standing committees: Nominating, Compensation, Audit, and Litigation

6. Approaches to performance improvement include Hoshin Kanri for business planning, the Kaizen Improvement Process, and knowledge sharing through many mechanisms.

Include an indication of the relative importance/strength of the comment by using ++ or - - as appropriate.
Include a reference to the most relevant Key Factor(s).

+/++	**Item Ref**	**KF Ref**	**ADLI**	**Strengths (Include figure references, as appropriate.)**
+	a1	1-3,6	A/I	The applicant's Steering Team, made up of the President and his direct reports, is responsible for setting and deploying short-term (one-year) and long-term (five-year) directions that are aligned with the Vision, Principles, Mission, Goal, and Values (Figure 1.1-1). The Steering Team uses the Gyroscope Semi-Annual Calibration (GSAC) Process as part of the Gyroscope Planning System (GPS) to establish, monitor, and revise organizational direction. (ALL, NJ++)
+	a1	1-4	A	Senior leaders communicate values, directions, and expectations through a variety of approaches, including the Hoshin Catchball Process, the *Compass* newsletter, GPS meetings, recognition events, a Web page, closed-circuit television, banners and posters, and new associate orientation. (BL, JJ, CC, JRL++)
+	a2	2,4,6	A/D	The applicant's team-based culture facilitates setting performance targets and planning, assists associates in analysis and problem solving, supports the development of new approaches and innovative solutions, and creates an environment for empowerment and associate involvement. Some teams operate at the work unit level, while others are cross-functional or cross-product, and all associates are on at least one team. (BL++, DJC, HF, JJ, NJ++, DWJ)
+	b	3, 5	A/D	The applicant's parent organization provides the primary governance system. An external accounting firm conducts quarterly and annual audits, and internal audits are conducted biannually. The Ethics Committee, a standing committee under the Management Committee, reviews all audit results. In addition, governance practices, including appointment of independent board members and consistent use of the *Code of Conduct*, help ensure protection of stockholder and stakeholder interests. (DJC, FH,JJ,CC, NJ)
+	c1	1-4	A/D/I	The Steering Team conducts weekly organizational performance reviews in one of four topic areas that also address three of the five Values. Monthly Navigation Reviews, which focus on company-level measures called Course Coordinates, are used to identify improvements and areas where strategy is at risk. Kaizen Improvement Project Teams are chartered and deployed throughout the applicant's organization to address at-risk areas. (ALL)

-/- -	Item Ref	KF Ref	ADLI	Opportunities for Improvement (Include figure references, as appropriate.)
-	b	3,5	A/D	Although the parent corporation's Board of Directors abides by principles for independent governance established by the Japanese Corporate Governance Forum (JCGF), it is not clear how these principles or the board's committee structure addresses management accountability, fiscal accountability, or the protection of stakeholder interests at the level of the applicant's organization. (DJC, JJ, DWJ, JRL)
-	c2,3	1-4	A/D	The process by which senior leaders translate performance review findings into priorities for improvement is not evident, and recent review findings are not provided. In addition, it is not clear how priorities and opportunities for improvement are deployed throughout the applicant's organization or to suppliers and partners to ensure organizational alignment. (BL, DJC, JRL)
-	c4	4	A/L	Although the applicant uses an annual Leadership Assessment Session to evaluate Steering Team performance, there is no evidence of a process for systematically evaluating the performance of the CEO or the Board of Directors. Also, it is not clear how senior leaders use organizational performance review findings to improve the effectiveness of their own leadership or that of the leadership system. (BL, DJC, CC, DW- -)
OFI not included:				
-	b	3,5	A	Other than audit results and participation in Partners in Trust Seminars, it is not clear what measures or indicators the applicant uses to monitor ethical behavior throughout the organization, including among key partners, the Board of Directors, and other stakeholders. Without such measures or indicators, the applicant may not be able to fully assess performance levels for ethical behavior. (JJ--)

SITE VISIT ISSUES (For Stage 2, Consensus Review, Only)

- Verify Steering Team use of the GSAC/GPS to establish and monitoring short and long term direction and senior leadership use of the Hoshin Catchball Process and other approaches to communicate values, directions, and expectations to associates. (Strength #1, 2)
- Verify the approaches associated with the governance system, including performance and review of external audits, independent board members, and use of Code of Conduct. Clarify how the governance system addresses management accountability, fiscal accountability, and the protection of stakeholder interests. (Strength #4, OFI #1)
- Verify Gyroscope Course Coordinates are reviewed in monthly Navigation Reviews and that weekly reviews are focused on key topics and value. Clarify how senior leaders translate review findings into improvement priorities and deploy priorities through the organization and to suppliers/partners. (Strength #5, OFI #2)
- Verify the use of the Leadership Assessment Session to evaluate Steering Committee performance. Clarify whether a systematic process exists for evaluating CEO/COD performance and how senior leaders use organizational performance review findings to improve the effectiveness of their own leadership or that of the leadership system. (OFI #3)

Recommendation: Category 5 lead verify Strength #3 on team-based culture and its deployment.

Change Due to Site Visit Findings (For Stage 3, Site Visit Review, Only)

raise large	raise small	no change	lower small	lower large

Item Worksheet—Item 1.1 **Percent Score 50 - 60**

CHECKLIST FOR PROCESS CHECKER TO USE ON CALLS

Item # (In discuss-ion order)	Criteria Rqmts.	Key Factors (4–6)	Strengths/ OFIs (6–10)	Areas of Disagree-ment	Scoring Range	Score (Whole number %)	SVIs (If applicable)	Remarks

Rules for Consensus Scoring

Review the following rules for consensus scoring with the team scorekeeper:

✓ After an Item is discussed during the consensus call(s), the assigned Category/Item lead will propose a scoring range. Team members will reach consensus on the proposed scoring range. Once team members reach consensus on the range, the Item lead will propose a percent score within the range. The team members then will attempt to reach consensus on a score.

✓ If, after a discussion, consensus cannot be reached and the difference in proposed scores among team members participating on the call is 30% or less, the average of the proposed scores of team members participating in the conference call is used.

Review the following guidelines with the team scorekeeper:

Item Scores

✓ The consensus **percent** score for each Item should be a **whole** number with no decimal places. To do this, use normal rounding rules (.5 and higher are rounded up; .49 and below are rounded down).

✓ The consensus **points** for each Item should be a **whole** number. To do this, multiply the consensus percent score (whole number) by the maximum points possible for the Item. Round to the nearest whole number using normal rounding rules.

Category Scores

✓ The consensus **percent** score for each Category should be a **whole** number calculated by adding the point scores from all Items in the Category, dividing the Category point score by the maximum points possible for the Category, and multiplying by 100 to convert to a percentage.

Grand Total

✓ The Grand Total of consensus **points** is arrived at by adding the point scores for all seven Categories or all Items. It will be a whole number because all Item and Category point scores are whole numbers.

✓ The Grand Total consensus **percent** score is calculated by dividing the Grand Total consensus points by 10 (example: 378 points = 37.8%) A decimal is okay here.

Tools Provided for Planning Consensus Assignments

To help with the assignment of team members, the team leader will receive three documents:

1. Stage 1 Examiner Scoring Table
2. Stage 1 Scoring Graph
3. Stage 1 Frequency of Scores

A description of each document follows with guidance on how it can be used in the consensus process. A sample copy of each document is included.

Stage 1 Examiner Scoring Table

The **Stage 1 Examiner Scoring Table** is a table showing the Item and total scores for all Examiners who scored the application at Stage 1, with summary data for the application. The first two columns on the left show the Item number and the maximum possible points for the Item. The Examiners are identified by number from left to right across the top of the chart. Their individual scores for the Items are given in the column below their number, with their total score at the bottom. The range (low–high) of scores for an Item is identified by scanning across a line. The next five columns show summary data for each Item: the average percent score; the median point score; the median percent score; and the standard deviation. Along the bottom row for each Category, the table provides the maximum possible Category points and the total Category points assigned by each Examiner.

Before assigning an Examiner responsibility for an Item, scan the scoring data. Typically, Examiners are assigned leads on Items for which their scores were at or near the median of Stage 1 scoring.

Stage 1 Scoring Graph

The **Stage 1 Scoring Graph** is a box plot graphic representation of the tabular data presented in the Stage 1 Examiner Scoring Table. The box plot displays the distribution of the scores for all Items assigned by Examiners in Stage 1, as well as summaries of median and quartile statistics describing the distribution.

The large box indicates the center of the distribution and it contains the middle 50% of the scores. The bottom of the box is drawn at the first quartile and the top at the third quartile.

Scores that are far from the middle of the distribution and that meet certain statistical definitions (defined below) are called "outliers" and "extremes." "Outliers" are represented by a small circle (o), and "extremes" are represented by an asterisk (*).

The median score (middle score or 50th percentile) appears as a small square (□). The median is not necessarily halfway between the first and third quartile. A line connects the median from Item to Item.

The lines extending above and below the box are known as whiskers. They indicate the upper and lower range (minimum and maximum) of scores that lie outside the box, excluding the "outliers" and "extremes."

This graph identifies

1. *the range of scores on each Item*
2. *the median score on each Item*
3. *where the middle 50% of the scores fall for an Item and how closely grouped scores are*
4. *scores that are statistical "outliers" and "extremes"*

Statistical definitions:

1. *The* ***interquartile range*** *(IQR), is the range between the first and third quartiles,* $Q_3 – Q_1$.
2. ***Outliers*** *are points that fall more than a distance of ∀1.5 times the interquartile range from the box ends of* Q_3 *and* Q_1 *(*Q_3 *+ 1.5 IQR and* Q_1 *– 1.5 IQR) and less than 3 times that distance (*Q_3 *+ 3 IQR and* Q_1 *- 3 IQR).* ***Extremes*** *are points that fall more than 3 times the distance from the box (>* Q_3 *+ 3 IQR and <* Q_1 *- 3 IQR). These distances are based on median values and should not be confused with standard deviations, which are based on mean values*.

Stage 1 Frequency of Scores

The **Stage 1 Frequency of Scores** is a table showing how many Stage 1 Examiners selected a specific Item percent score.

The horizontal axis at the bottom shows the Item numbers. The vertical axis shows the percentage scores. Within the grid boxes is a frequency count of the number of Examiners who scored an Item at each of the 5% increments.

Note: For ease in reading, zero frequency counts are not recorded.

SAMPLE
STAGE 1 EXAMINER SCORING TABLE

MALCOLM BALDRIGE NATIONAL QUALITY AWARD

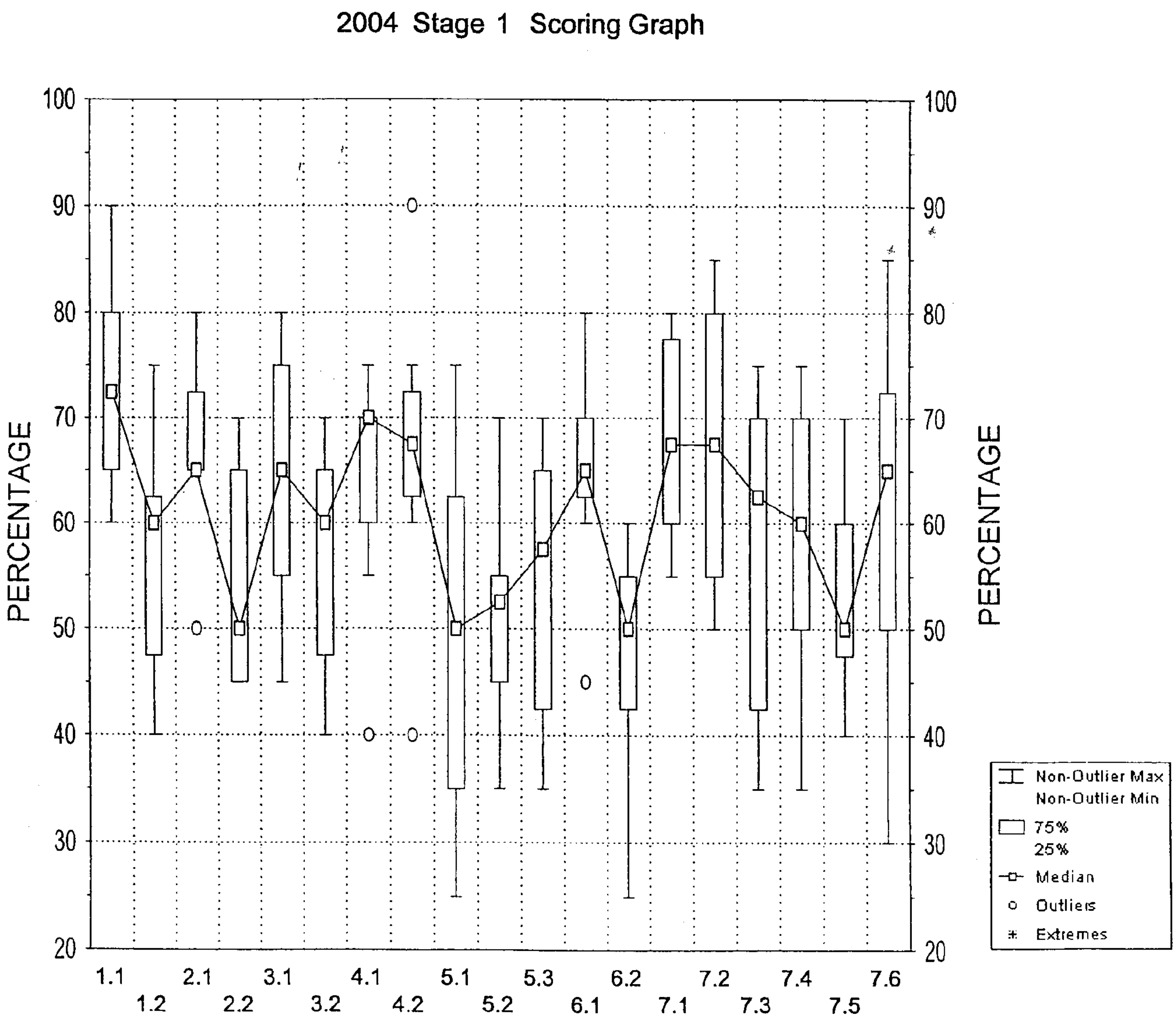
2004 Stage 1 Examiner Scoring Table

Application Number: 999-00

Item	Maximum Points Possible	Examiner #1 3530 S#	Examiner #2 1072 R#	Examiner #3 918 A	Examiner #4 3347 S	Examiner #5 5034 NS#	Examiner #6 1059 S#	Examiner #7 3352 NS	Examiner #8 2078 S#	Avg Pts Scored	Avg % Score	Median Pts Scored	Median % Score	Std Dev Pts
1.0 LEADERSHIP														
1.1	70	60 %	75 %	90 %	65 %	65 %	80 %	80 %	70 %	51.2	73.1 %	50.8	72.5 %	10.0
1.2	50	55 %	60 %	60 %	75 %	40 %	60 %	65 %	40 %	28.4	56.9 %	30.0	60.0 %	11.9
Totals	120	69.5	82.5	93.0	83.0	65.5	86.0	88.5	69.0	79.6	66.3 %	80.8	67.3 %	10.2
2.0 STRATEGIC PLANNING														
2.1	40	75 %	70 %	65 %	65 %	65 %	65 %	80 %	50 %	26.8	66.9 %	26.0	65.0 %	8.8
2.2	45	65 %	50 %	65 %	45 %	45 %	50 %	70 %	45 %	24.5	54.4 %	22.5	50.0 %	10.5
Totals	85	59.3	50.5	55.3	46.3	46.3	48.5	63.5	40.3	51.3	60.4 %	48.5	57.1 %	7.6
3.0 STUDENT, STAKEHOLDER, AND MARKET FOCUS														
3.1	40	75 %	50 %	80 %	70 %	60 %	60 %	75 %	45 %	25.8	64.4 %	26.0	65.0 %	12.7
3.2	45	65 %	40 %	65 %	50 %	45 %	65 %	70 %	55 %	25.6	56.9 %	27.0	60.0 %	11.0
Totals	85	59.3	38.0	61.3	50.5	44.3	53.3	61.5	42.8	51.4	60.5 %	53.0	62.4 %	9.0
4.0 MEASUREMENT, ANALYSIS, AND KNOWLEDGE MANAGEMENT														
4.1	45	70 %	40 %	70 %	70 %	55 %	65 %	75 %	70 %	29.0	64.4 %	31.5	70.0 %	11.5
4.2	45	65 %	60 %	90 %	70 %	40 %	65 %	75 %	70 %	30.1	66.9 %	30.4	67.5 %	14.1
Totals	90	60.8	45.0	72.0	63.0	42.8	58.5	67.5	63.0	59.1	65.7 %	61.9	68.8 %	10.3
5.0 FACULTY AND STAFF FOCUS														
5.1	35	60 %	35 %	65 %	50 %	35 %	50 %	75 %	25 %	17.3	49.4 %	17.5	50.0 %	17.0
5.2	25	55 %	40 %	55 %	50 %	35 %	55 %	70 %	50 %	12.8	51.3 %	13.1	52.5 %	10.6
5.3	25	55 %	40 %	65 %	65 %	35 %	60 %	70 %	45 %	13.6	54.4 %	14.4	57.5 %	12.9
Totals	85	48.5	32.3	52.8	46.3	29.8	46.3	61.3	32.5	43.7	51.4 %	45.0	52.9 %	11.2
6.0 PROCESS MANAGEMENT														
6.1	50	80 %	60 %	65 %	45 %	65 %	65 %	70 %	70 %	32.5	65.0 %	32.5	65.0 %	10.0
6.2	35	60 %	50 %	50 %	50 %	35 %	50 %	60 %	25 %	16.6	47.5 %	17.5	50.0 %	12.0
Totals	85	61.0	47.5	50.0	40.0	44.8	50.0	56.0	43.8	49.1	57.8 %	50.0	58.8 %	6.8
7.0 ORGANIZATIONAL PERFORMANCE RESULTS														
7.1	150	75 %	65 %	70 %	80 %	60 %	55 %	80 %	60 %	102.2	68.1 %	101.3	67.5 %	9.6
7.2	60	80 %	85 %	50 %	65 %	60 %	70 %	80 %	50 %	40.5	67.5 %	40.5	67.5 %	13.6
7.3	60	60 %	70 %	45 %	65 %	35 %	75 %	70 %	40 %	34.5	57.5 %	37.5	62.5 %	15.4
7.4	60	60 %	50 %	65 %	60 %	35 %	50 %	75 %	75 %	35.3	58.8 %	36.0	60.0 %	13.6
7.5	60	60 %	45 %	50 %	60 %	40 %	50 %	70 %	50 %	31.9	53.1 %	30.0	50.0 %	9.6
7.6	60	60 %	50 %	85 %	70 %	30 %	70 %	75 %	50 %	36.8	61.3 %	39.0	65.0 %	17.5
Totals	450	304.5	277.5	282.0	312.0	210.0	271.5	342.0	249.0	281.3	62.5 %	284.3	63.2 %	40.4

SAMPLE
STAGE 1 SCORING GRAPH

Application Number: 999-00



SAMPLE
STAGE 1 FREQUENCY OF SCORES

Application Number: 999-00

Frequency of Scores (by Item #)

100																				100
95																				95
90	1							1												90
85															1				1	85
80	2		1		1							1		2	2					80
75	1	1	1		2		1	1	1					1		1	2		1	75
70	1		1	1	1	1	4	2		1	1	2		1	1	2		1	2	70
65	2	1	4	2		3	1	2	1		2	3		1	1	1	1			65
60	1	3			2			1	1		1	1	2	2	1	1	2	2	1	60
55		1				1	1			3	1			1						55
50			1	2	1	1			2	2			4		2		2	3	2	50
45				3	1	1					1	1				1		1		45
40		2				1	1	1		1	1					1		1		40
35									2	1	1		1			1	1			35
30																			1	30
25									1				1							25
20																				20
15																				15
10																				10
5																				5
0																				0

Preparing the Consensus Scorebook

✓ The team leader faxes the consensus Score Summary Worksheet to ASQ immediately upon completion of the consensus call.

✓ The team leader works with team members to ensure that the revised Item worksheets and other worksheets reflect the consensus call discussions and meet the Comment Guidelines and Criteria requirements.

✓ The scorebook editor revises and the team leader approves the revisions to the consensus scorebook **comments** (strengths and OFIs) and **Key Themes Worksheet**. The scorebook editor will

- *clarify and standardize the language among Items*
- *eliminate any conflicts between strengths and OFIs within and among Items*
- *check that all comments conform to the Comment Guidelines (contain a single, complete thought; avoid jargon and are not prescriptive, predictive or negative; include specific examples and figure references and focus on major objectives of the Criteria, etc.)*
- *ensure that the Key Themes Worksheet conforms to the required format (contains the most significant strengths and concerns and puts them into perspective, taking into account Item linkages, key factors, and core values)*

(Site visit issues and the Key Factors Worksheet will be revised if the applicant is selected to go on to site visit.)

✓ The scorebook editor assembles the consensus scorebook **(paper copy and diskette for word processed pieces),** consisting of the following:

- *Key Factors Worksheet*
- *Key Themes Worksheet*
- *Item Worksheets containing key factors and all* ***comments*** *(strengths, OFIs, Areas to Address [e.g., a(1), b(3)], ADLI)* ***and site visit issues, if applicable.***
- *Score Summary Worksheet (previously faxed to ASQ by the team leader)*

✓ The scorebook editor sends the revised consensus scorebook (paper copy and diskette for word processed pieces) to the team leader.

Preparing the Consensus Scorebook
-continued

- ✓ The team leader reviews, revises, and approves the consensus scorebook (legible pen and ink changes are acceptable).

- ✓ The team leader sends the **final, edited, feedback-ready consensus scorebook** (paper copy and diskette for word processed pieces) **for receipt by NIST/BNQP no later than September 14.**

Section Seven

Materials From the Examiner Handbook and More FAQs

7.0 STAGE 2, CONSENSUS REVIEW

Overview

Applicants selected by the Panel of Judges for further evaluation move to Stage 2, Consensus Review. The purpose of Stage 2 is to clarify and resolve differences in individual Examiner observations and scoring from Stage 1, Independent Review. During this stage, a team of Examiners reaches consensus on key themes, KFs, comments that capture the team's collective view of the applicant's strengths and OFIs, and the resulting score. The consensus scores and scoring profiles are used by the Panel of Judges in selecting applicants to be site visited. If an applicant is not selected for a site visit, the team's comments are used for the final scorebook. The final scorebook is the basis for the feedback report to the applicant.

Composition of the Consensus Team

A Consensus Team consists of a combination of Examiners and Senior Examiners. Whenever possible, team members are selected from Examiners who completed the Stage 1, Independent Review, of the application. Team leaders are selected from Senior Examiners who have received additional training on the Award's purposes and processes.

Consensus Review Process

Consensus is an agreed-upon decision on a scorebook comment and numerical score, based upon the contributions of ***all*** team members. NIST will assign two Senior Examiners to serve as team leader and backup team leader. The team leader will create a schedule for and coordinate all tasks associated with the team's successful completion of the consensus review process for its applicant. The Consensus Team, via conference calls, reaches consensus on comments synthesized from the Stage 1 scorebooks and arrives at a consensus score for each Criteria Item. As a member of the team, the scorebook editor prepares a consensus scorebook using the work of the Consensus Team. The consensus scorebook is used as the basis for the feedback report for applicants dropping out at Stage 2. It is also the basis for site visit planning for applicants going on to Stage 3.

The key steps in the consensus review process for Examiners are as follows:

- Receive assignment to a Consensus Team.
- Complete planning/prework.
  - Review all Stage 1 scorebooks.
  - Draft the Key Factors Worksheet and the Key Themes Worksheet.
  - Develop draft Item Worksheets for the assigned Items (including proposed comments and score), complete any other assignments, and distribute to other team members and NIST.
  - Serve as Item backup as assigned.
  - Review all draft Item Worksheets and assignments prepared by other team members before the consensus call(s).
- Plan the discussion order of the consensus conference call(s).
- Conduct the conference call(s).
  - Lead discussion on assigned Items.
  - Finalize the Key Factors Worksheet and the Key Themes Worksheet.
  - Perform other roles as assigned.
- Complete consensus call follow-up tasks.

  - Revise the assigned Item Worksheets to reflect discussion on the consensus call(s) and forward to the team leader and scorebook editor.
- Prepare peer reviews of Stage 1 scorebooks and forward to NIST.
- Prepare and submit the final consensus scorebook, if assigned.
- Review consensus scores/scoring profiles and selection of applicants for site visit review by the Panel of Judges.

Note: Examiners selected for Consensus Teams will receive detailed instructions on each step of the consensus review prior to beginning the process.

Conducting the Consensus Call

Determining Consensus Comments and Consensus Scores

- The team discusses Criteria requirements and KFs for each specific Item.
- The team discusses the applicant Item by Item, noting KFs and key themes. The team discusses the comments on the draft Item Worksheets prepared by the Category/ Item leader. The discussion focuses on how to tailor the individual comments so they will provide usable information to the applicant. Divergent views are discussed and resolved by going back to the application, KFs, Criteria requirements, and Scoring Guidelines. The team identifies important Criteria requirements that are not already addressed in the draft comments and develops comments representing its view of the applicant on these issues.
- The team reaches consensus on the Item comments, ensuring that all comments represent the team’s commonly held view of the applicant’s strengths and OFIs as each relates to the main objectives of the Criteria for the Item.
- Using the Scoring Guidelines, the assigned Category/Item discussion leader will propose a scoring range and then a consensus Item score aligned with the agreed upon comments. Team members are polled to determine agreement with the proposed range and the score.
- If consensus cannot be reached and the difference in proposed consensus scores among team members participating on the call is 30 percent or less, the average (arithmetic mean) of the proposed consensus scores of team members participating in the conference call may be used.
- The team discusses and agrees upon the key themes resulting from the application review.

Frequently Asked Questions About Stage 2, Consensus Review

1. How many Examiners will participate in Stage 2?

Generally, one-half to two-thirds of the Examiners who complete a Stage 1 review will receive a Consensus Team assignment for that applicant, providing the applicant moves forward in the review process. But should there be an opening on a Consensus Team, an Examiner from Stage 1 whose applicant did not move forward could be asked to fill the opening. The Examiner is then required to complete the Key Themes Worksheet for this applicant in order to participate in the consensus review.

2. Can the draft Item Worksheets be faxed to other team members?

Yes. Consensus work documents may be faxed; however, all communications should meet confidentiality requirements. (See pages 3-3 through 3-4, Rules of Conduct and Code of Ethical Standards.) The applicant should be referred to by number only. Recipients of the faxed document should be called first so they can protect confidentiality by receiving the document personally.

3. When are conference calls typically scheduled?
Examiners are notified of the consensus calendar during the Examiner Preparation Course and are encouraged to plan their schedules to allow for participation on a Consensus Team. Scheduling the conference calls can be one of the most difficult parts of the consensus review. Therefore, Examiners are asked to clear their calendars during the assigned times in order to be available to participate in the scheduled calls. It is important to be flexible. Most calls take place during normal business hours. Some teams find evenings and weekends to be the only time they can schedule the calls. It is not unusual for team members to participate on consensus calls during business travel or vacation leave.

4. What if an Examiner cannot be there for part of the conference call?
It is critical that ***all*** team members participate in the consensus review process. It is essential that each team member participate in the ***entire*** conference call. Team members should contact the team leader immediately if a problem arises with the proposed schedule. If schedules change and an Examiner must step away from the call, the team leader will have to reschedule the call to allow for the full participation of that team member.

5. Can electronic mail be used to forward draft Item Worksheets to other team members?
No. Electronic mail via the Internet is not a secure means of communication for the purpose of applicant review and should not be used. Instead, use overnight mail or a secure fax. The use of cellular and cordless telephones for consensus calls is also not a secure means of communication and, thus, is not permitted. Although there are methods to secure these communications, there are no guarantees.

6. Can secretaries, family members, or anyone else help prepare and transmit consensus review documents?
No. Secretaries and other persons should not prepare, copy, or transmit confidential consensus review documents. Examiners are solely responsible for all the materials and information.

7. What are the time commitments required for participating in the consensus review process?
The consensus review process occurs from mid-August through mid-September. It is estimated that 20–27 hours will be required: 2–3 hours for the planning call, 12–16 hours in preparation prior to the consensus calls, 10–12 hours for the consensus calls, and 2–3 hours after the calls to rewrite the draft Item Worksheets and other consensus scorebook documents.

Consensus Review: DOs and DON'Ts

- *Do* be flexible during call scheduling.
- *Do* prepare. It is essential that each team member fully prepare **prior** to the conference call. Complete the draft Item Worksheets by considering the comments from all scorebooks and synthesizing the information into the most significant four to six KFs for the related Item, and six to ten comments most important to the applicant and respond to the main points of the Criteria. **Preparation for the call generally takes more time than the call itself.**

- *Do* distribute the draft Item Worksheets to other team members and NIST in advance to enhance the efficiency and effectiveness of the consensus conference call.
- *Do* review all draft Item Worksheets prepared by other team members prior to the call. Be prepared to discuss.
- *Do* review the draft Key Factors Worksheet and Key Themes Worksheet prepared by the scorebook editor prior to the call. Be prepared to discuss.
- *Do* meet deadlines and connect to the conference calls on time.
- *Do* have the necessary materials at hand: the appropriate Criteria, the application, the Scoring Guidelines, all Stage 1 Scorebooks, and the draft Key Factors, Key Themes, and Item Worksheets from other team members.
- *Do* participate in the conference call.
  - Listen to all points of view presented, including those of Examiners who prepared independent reviews but are not members of the Consensus Team.
  - Provide your point of view.
  - Focus on discussing the substance of the comments, the Criteria, and the Scoring Guidelines, and then align the score with the comments.
- *Do* revise the Key Factors Worksheet and Key Themes Worksheet based on the conference call discussion.
- *Do* provide all written work in accordance with the team leader’s instructions.
- *Don’t* focus solely on numerical scores.
- *Don’t* isolate or polarize team members who have differing views.
- *Don’t* become defensive about your scores from the independent review. Remember, one of the outcomes of Stage 2 is a score that reflects the entire team’s collective evaluation.
- *Don’t* ask other team members to justify high/low scores from the independent review.

ADDITIONAL FREQUENTLY ASKED QUESTIONS ABOUT THE CONSENSUS REVIEW STAGE

These questions and answers supplement those in the Examiner Handbook, reprinted in Section Seven of the Consensus Manual.

(1) How are team members selected for Consensus Teams?

The Consensus Team is composed primarily of Examiners who read the application at Stage 1. In addition, we consider proper team balance in terms of Criteria knowledge, Award process experience, industry/sector expertise, and Category expertise. To be selected, Examiners must also be available to participate in the entire Consensus review process and, preferably, in the Stage 3 site visit review process if the applicant moves on.

(2) This is my first time on a Consensus Team. What are the different roles and assignments for team members?

There are several standard roles that Consensus Team members perform throughout the entire review process. These roles are team leader, backup team leader, Category/Item lead and backup, computer expert, and scorebook editor. There are also other roles that team members play while on the consensus calls. These roles include scorebook sponsor, timekeeper, scorekeeper, criteria expert, and process checker. Each of these roles is covered in detail in Section Three of the Consensus Manual.

(3) I just found out that my Stage 1 applicant is going on to consensus. What are my first tasks?

Congratulations! Your first task is to provide your team leader with your biography and the dates that you are available (and unavailable) for the planning call and consensus calls. Your team leader will be contacting you in early August to request this information.

(4) I am a newly added member of a Consensus Team. I did not review the application during the Stage 1 Independent Review. What do I need to do to prepare for the consensus review process?

If you are a newly added member of a Consensus Team, you will receive a package from ASQ containing the application and other materials. (This package is similar to the one that you received during the Stage 1: Independent Review.) Once you receive this package, you should read the application and prepare a complete set of key themes for the applicant (i.e., complete the Key Themes Worksheet). However, you <u>do not</u> need to prepare a complete scorebook, nor do you need to score the application, as you did in the Stage 1 review. The package from ASQ and your team leader will provide additional information on your specific tasks.

(5) How are site visit issues selected?

Your team leader will develop a plan for site visit issues. Your team leader will inform you if you are to prepare site visit issues. Typically, 2-4 site visit issues are prepared for each of your assigned Categories/Items. The issues are based on the need to verify strengths or clarify OFIs contained in the consensus scorebook. Since the site visit is not an audit, the selection of issues or questions for clarification and/or verification during the site visit is crucial.
Characteristics of a well-chosen site visit issue include the following:

- *<u>It is an essential component of the score</u>.* It focuses on factors that are important for the applicant, even if it is not important for all organizations. It may be one of the significant strengths or OFIs that requires verification (e.g., the extent of deployment), or it may be clarification of a significant issue for which information in the application is missing or unclear.
- *<u>It is "cross-cutting."</u>* It is the type of issue that affects, directly or indirectly, more than one Criteria Item. Also, it may include the degree to which an aspect of management is integrated throughout the applicant's organization.
- *<u>It is part of the deployment determination.</u>* The degree to which the applicant's approaches are deployed is often difficult to assess from the written application. The degree of deployment is often dependent upon the maturity of the applicant.
- *<u>It is verifiable</u>.* Acceptable techniques by which the team can get an answer to the issue are examining data sources, interviewing employees, or listening to presentations by the applicant. Unacceptable techniques include (1) interviewing customers, students, or patients unless they are a part of an official management or advisory structure; (2) conducting impromptu surveys; and (3) assessing individual customer complaints.

(6) I have been on some very long consensus calls. What strategies might reduce the amount of time that the calls take?

Consensus calls are, by design, typically 8–10 hours (two calls of 4–5 hours each). To avoid longer calls, it is imperative that your team meet its deadlines during the planning phase prior to the calls. This means that Item Worksheets must be exchanged and reviewed in a timely manner and that they must be distributed to all team members well in advance of the call. It also means that all team members must review the worksheets prior to the call and be ready to discuss them. Additionally, while on the call, Category/Item leads must present their Items efficiently and effectively. This means that Item leads should rehearse delivering their Items prior to the call and be prepared to summarize the Item requirements, key factors, and comments. (They should not read their Item Worksheets verbatum.) They should also be prepared to discuss any divergent views and how these differences were resolved. A model script for presenting an Item is available in Section Six of the Consensus Manual.

(7) I participated in the consensus review stage last year. What's new and different this year?

First, some similarities: Like last year, this year's Consensus Teams have only six team members, as opposed to seven in some prior years. With only six members, the role of scorebook editor will be performed by a team member who also is a Category/Item lead. We are again focusing on keeping calls to 8–10 hours or less. The calls are designed to be completed in this timeframe, but in recent years, many calls have exceeded these limits. We will be working with each of the teams to reduce the total call time.

As for changes:

(1) drafting and discussing site visit issues and reaching consensus on them will be optional at Stage 2. Each team leader will decide if the team will prepare site visit issues for each item during the consensus process.

(2) For the first time, there will be a consensus hotline. By calling the hotline, a team can obtain Criteria and procedural assistance during consensus calls.

(3) The NIST/BNQP monitor may not listen to the entire consensus call, because the teams can obtain assistance by calling the hotline.

(8) I still have questions. Where can I get additional information about the consensus review process?

You may still have questions after reviewing the *Consensus Manual* and other materials provided by your team leader and ASQ. If this is the case, you should contact your team leader or the NIST monitor who is assigned to your team. Their names and contact information can be found in the team roster that you were provided as part of your consensus package.

INDEX OF KEY TERMS

Award Process Team
Baldrige National Quality Program
National Institute of Standards and Technology
Technology Administration
U.S. Department of Commerce
301.975.2036
www.baldrige.nist.gov

Revised July 2004